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ABSTRACT

Projects are described that emphasize broad-based or comprehensive approaches to educational change, and are the result of a communitywide planning process designed to identify and then address core educational problems. Projects included in this publication are divided into "Changing Schools," which contains descriptions of projects whose primary intent is to alter the organization, norms, curriculum content, or structure of a single institution (generally a school building); "Changing School Systems," which includes projects that address in some way systemwide or multiple-school problems; and "Change Through Dissemination and Training." These projects present several creative approaches for disseminating information on promising educational practices and for helping teachers adopt new materials and instructional techniques. (Photographs will reproduce poorly.) (Author/MLF)

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and

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Title III
and
Changing Educational Designs

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Title III and Changing Educational Designs

Dr. Inez Eddings
Member, National Advisory Council

This issue of the *Title III Quarterly* is devoted to projects which emphasize broad-based or comprehensive approaches to educational change. Despite the diversity in approach and emphases, these projects have one element in common. Each is the result of a community-wide planning process which is designed to identify and then address *core* educational problems.

The range of projects included in this *Quarterly* is testimony to the unique contribution that Title III of the Elementary and Secondary Education Act (ESEA) makes to educational innovation and reform. Amidst the array of state and federal assistance programs, only Title III provides the latitude that allows local groups to devise and obtain financial support for their own solutions to their most pressing educational problems. Not constrained by subject-matter or grade-level specifications, not limited to a particular area of social need, not focused on any specific group of students or school personnel, Title III funds are being used to support a wide variety of imaginative approaches to educational change.

By providing risk capital to local groups contemplating significant changes in their educational systems, Title III serves as an incentive for creative and daring thought. Committed school-people and citizens, frustrated by local fiscal problems and a general resistance to change, can look to Title III support as a means for trying a new approach—even one which may be somewhat unconventional. The availability of Title III funding has stimulated people in many communities to challenge existing practices and assumptions. Much of the progress and hope that have characterized many local school districts over the past seven years undoubtedly can be attributed to the existence of Title III.

For the reader's convenience, the projects included in this publication are divided into three sections:

Part I, "Changing Schools," contains descriptions of projects whose primary intent is to alter the organization norms, curriculum content, or structure of a single institution, generally a school building. The settings and program emphases vary considerably; in fact, one of the projects approaches educational change within the context of a library program rather than that of a school. Nevertheless, each of the programs is concerned with factors that relate to the structure and process of the total institution, not simply to a particular course, a curriculum unit, or a teaching technique that is merely one element of a complex whole.

Part II, "Changing School Systems," includes projects which address in some way system-wide or multiple-school problems. Some of the projects in this section are concerned with restructuring the school calendar; others are designed to reform the total educational system of a particular community, from preschool to postsecondary education. Characteristic of all these projects is a concern for widespread participation in their planning and implementation, a process which leads inevitably to a consideration of a community's basic educational goals.

Part III of the *Quarterly* is entitled "Change through Dissemination and Training." These projects present several creative approaches for disseminating information on promising educational practices and for helping teachers adopt new materials and instructional techniques. Without some effective means of informing teachers and assisting them in trying new methodologies, there is little chance that meaningful change will come about in classrooms.

In its entirety, this issue of the Title III *Quarterly* is about "Changing Educational Designs," with educational change viewed in broad and ambitious terms. With some approaches to educational change focused on a single school, others on a total school system, and still others on dissemination and training programs, there is much to learn from the experience of these programs. The members of the National Advisory Council hope that this *Quarterly* will prove particularly helpful to our readers and that it will stimulate local groups to think deeply about their own educational systems and how they might be improved.

Freedom High School, Albuquerque, New Mexico

An Alternative to Dropping Out

Freedom High School in New Mexico offers an option within the public school system to young people who seem to require a more flexible, individualized program than is available in the traditional high school. It enrolls students who are likely to drop out of school for reasons of academic failure; personal, social, emotional, or home problems; above-average ability and need for a challenging program involving self-initiative; or necessity for employment with pay.

In 1970, the Assistant Superintendent of the North Area District of the Albuquerque Public Schools read about the Parkway project in Philadelphia, and believed that a similar program was needed in Albuquerque's North Area District. The Superintendent of the North Area, the Area Advisory Council, and the administrative body of the Albuquerque Public Schools combined their efforts to support the idea, and the project was approved and funded jointly by the Albuquerque Public Schools and a Title III grant from the State Department of Education of New Mexico.

In the first year, the program had the following ingredients: 50 potential dropouts, seniors; three certified teachers, enthusiastic, realistic, and willing to gamble; one secretary, mature and with a sense of humor; one building, old and vacant; one directive—"Be creative, be innovative, be enthusiastic, be willing to change course as needed!" These first 50 students named the project "Freedom High School" and, not too strangely, they learned by the end of that year that "freedom" is not free.

The students who entered the program in 1970 were selected with the assistance of counselors in each of the three North Area high schools. The three teachers who had agreed to teach in the *Freedom School* interviewed each applicant and selection was based on the following criteria for identifying a potential dropout:

- He or she has had few successes academically, personally, or socially within the school structure;
- He doubts what he is "good at," hence, what he is "good for";
- There has been little positive reinforcement and possibly much negative reinforcement in the academic setting, from his point of view;
- He is normally "turned on," e.g., does at least one thing well, in his own opinion and in the opinion of his peers, outside the school setting—even though the behavior may be antisocial;
- He gives an outward appearance of conforming but inwardly sees himself as pitted against a cruel world;
- He is not necessarily "nice" to people but is "real" with them, sincere from his frame of reference;
- He distrusts, hence cannot openly confide in, adult authority figures, and is therefore isolated from a segment of reality;
- He exhibits lack of adequate reserves of self-esteem and inner discipline, especially under humiliating or trying conditions;
- He is unable to accept adequately school administrative procedures, covert negative attitudes of teachers, etc., and reacts to situations he does not understand in a nonconforming manner;
- He is aware, for the most part, of the above, and is willing to take a risk by participating in a program which offers a change.

Entrance to *Freedom High* follows a definite procedure. The feeder high school sends a counselor referral form to the *Freedom High* staff coordinator and the student referred comes to *Freedom High* for an interview. Staff members discuss with the applicant his reasons for applying, his goals, his past educational difficulties, his family situation, and any other personal problems he may wish to divulge. The interview is friendly and honest. The objective is to have a careful evaluation of student need in order to decide if the *Freedom High* program can possibly be the applicable educational direction for the student. Parents are encouraged to attend the interview and many do.

The *Freedom High* staff coordinator informs the feeder school of acceptance or nonacceptance and the school sends a transcript of the accepted student's credits to date. The feeder schools maintain the cumulative academic record (supplied by *Freedom High*), and the student graduates from his parent school.

In addition to acting as the record-keeping agency, the feeder school makes available to *Freedom High* its counseling department and its library, and in some instances *Freedom High* students may take courses on the feeder school campus.

Each student is personally involved in planning his educational direction in job training, enrichment, and aca-

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This article was written for the Title III Quarterly by Ms. Esther Shumaker, Staff Coordinator, Freedom High School, *Albuquerque, New Mexico.*

demic areas. The staff and students believe that learning can and does take place any hour of the day and every day of the week; therefore, credit can be earned for approved activities and performance in the total curriculum of job training, enrichment, or academic areas.

Every eight weeks the staff sets aside time for the evaluation of each student's progress. The student participates in evaluating his progress, with the assistance of two staff members. Student and teachers sit in judgment on his performance, attendance, and the granting of a grade for the course. Involvement in job training or enrichment areas requires written verification from lay teachers or supervisors. The staff checks periodically with supervisors concerning students performance in job training areas and also visits students for on-site observation.

A brief statistical look at the *Freedom High* record is as follows:

Year	*Number of Students*	*Grade Level*	*Percent Graduating*	*Number of Teachers*	*Number of Locations*
1970-71	51	12	90	3	1
1971-72	127	12,11,10	92	6	2
1972-73*	179	12,11,10		7 + aide	2

*January 20, 1973

Statistics and procedures tell only a "paper" story. What is *Freedom High* really like?

Unpredictable! The situation is ever-changing, and expectedly so when one deals with students classified as potential dropouts. Home and personal problems, temporary psychiatric care, loss of a parent, trouble with the law, financial needs, etc., are the type of situations each staff member must be able to handle.

Teaching at *Freedom High* is a job filled with challenge. The staff at *Freedom High* can be classified as being mature, capable, enthusiastic, willing to "roll with the punches," having a sense of humor, being practical and realistic as well as impractical and idealistic! Creativity is the result of staff and students willing to try new and challenging methods for learning. This happens at *Freedom High*. If one method does not work, the staff admits it and changes course. To remain flexible enough to change course as needed requires that the staff keep student needs above the comforts of a planned procedure which may not and cannot be changed.

For the students at *Freedom High*, the experience is one of being in a family-like setting. Someone cares and there is always some one staff member with whom the student can identify and with whom he can talk at any time of day or night.

The greatest change in students, noted by faculty and parents, is in attitude. Attitude changes toward work, family, friends, and authority figures. Attitude changes toward long-range goals and life style. At the present time there is no instrument available which objectively measures attitude changes; however, there is a yearly follow-up study on the graduates of the program. The data from this questionnaire is compiled and used for evaluation and dissemination purposes, and is one way to view the program through the eyes of those who look in retrospect at their experience. It is realized that this is subjective data.

Additional data is obtained from parents as to the attitude changes they have noted in their son/daughter. This data, also subjective, is compiled and studied for evaluation of the effectiveness of the *Freedom High* program at the family level.

Not all is roses and blue sky! A perfect program would be perfectly boring. Indeed the 90+ per cent level of graduates is most gratifying when one views the student type with which the *Freedom High* staff works.

Each year of operation finds changes in the program. The staff believes that the program changes because students change. *Freedom High* starts with the student and works in the broad areas of job training, enrichment, and academics as a base for directing each student. It has been noted in our third year that students in their second year at *Freedom High* may become restless, and a certain number who are well established in jobs-with-pay do opt to take the G.E.D. At this point, 80 per cent of those who have taken the G.E.D. have passed successfully. This desire by students to "get it over with" is a direct result of the responsibility the potential dropout has learned to assume and to channel effectively.

To conclude this brief narrative, we look again at the student, because that is where we began. What would you have done as a student had you been told, "No bells ring here, no one calls to find out why you're absent. We're here to help you to help yourself. There is no guarantee that you'll graduate just because you're in *Freedom High;* the only guarantee we give is that if you do something, you'll get something; if you do nothing, you'll get nothing! The responsibility is yours. We'll help you to plan your educational direction but the responsibility of attainment is yours. You are free to choose, to change course as needed, and free to develop your interests and/or abilities. It's your ball game; you're as much in charge as we who teach here. Learn to use us to help you, learn to depend on yourself. Welcome to *Freedom High*."

We who teach here have seen students "turn on" to living and learning. We also have seen that a small percentage are unable to cope with the freedom to be responsible, and these are *our* dropouts. We don't win 100 per cent, but we aren't working with sure winners. That is why the record of our students is impressive to us.

Freedom High is an alternative—an extension of the feeder school—another chance for the potential dropout.

The Action Library: An Adventure in Learning

When a young person opens the glass door to Philadelphia's new Action Library he is greeted at the entrance by neighbors and he is confronted with a choice. The neighbors are the teenage and adult community aides who are part of the staff team. The choice is which of many activities to take part in. He may join a film-viewing group and perhaps operate the equipment himself. He may read a book, get tutoring or reading help, play a game, or he may drop down onto a blue mushroom-shaped stool to watch the tropical fish. Professional staff specialists and community aides are present but in this relaxed atmosphere the child or young person chooses both his own activities and his own pace.

The Action Library is the demonstration arm of the four-and-a-half year old *Philadelphia Student Library Resources Project*. The Project is a strategic response by the Philadelphia School District, the Archdiocesan School System, The Free Library of Philadelphia, and several independent schools to the disturbing trend of declining interest in and use of libraries by students in Philadelphia. It is funded by the United States Office of Education through grants from the Higher Education Act, Title III of the Elementary and Secondary Education Act, and the Library Services and Construction Act.

The first step was taken in July, 1968, with the establishment of the Philadelphia Student Library Research Center, which designed and carried out a two-year, city-wide study of student library needs, resources and use patterns. The research encompassed 10,000 students, 184 teachers, librarians in 51 schools and nine public libraries, and 300 mothers of sixth-grade students. Quantitative data on school library resources and services were obtained from 320 school libraries. The study revealed some startling facts, among which were:

1. Students' attitudes toward library resources reflect a disturbing pattern of dissatisfaction, which increases with grade level.
2. Although students generally have greater exposure to school libraries than to public libraries, more of them express dissatisfaction with school libraries.
3. While many students turn to the public library for learning materials, that agency is neither planned nor managed primarily as a students' library; and

Regular rap sessions are an important element in the ACTION LIBRARY's offerings. Here, the staff Community Relations Specialist talks informally with a small group of teenagers.

This article was written for the Title III Quarterly by Mr. John Q. Benford, Director, Student Library Resource Requirements Project. Philadelphia, Pennsylvania.

some students, particularly in the lower grades, indicate difficulty in getting to and using the public library.

4. Although nearly all students recognize a need for library materials, they experience varying degrees of success in satisfying their needs, and many encounter a variety of difficulties in using libraries and in obtaining materials.
5. Many teachers do not feel that instruction would be seriously weakened without the use of library resources. Seventy-five per cent of 12th-grade teachers concurred in this opinion.
6. Overall, Philadelphia's school libraries have only a third of the books called for by national standards, and they are even worse with respect to newspapers, magazines, and audio-visual materials.
7. Elementary school libraries have a critical shortage of trained library personnel, and the secondary schools, while staffed by professional librarians, are understaffed.

Why a Demonstration?

Faced with evidence that library systems are failing to reach many students, what could the sponsoring organizations do? Clearly, it was not simply a matter of providing more resources; the existing resources were not being utilized fully. The basic problems were related to students' attitudes and use patterns.

The sponsors agreed that new ways for exposing students to libraries and motivating them to use library resources were needed. Consequently, plans for a demonstration center were outlined. It would be neither a school library nor a public library; its collection would be determined by students' interests; staff would include teachers, audio-visual specialists, and a community worker, as well as librarians; and the community would be deeply involved. And, most important, new ideas would be critically evaluated; if a technique or approach worked well in the demonstration, it would be shared with others.

Following a year of interagency planning, the Action Library (the name was selected by students) was dedicated in May, 1972, and was opened on June 1st for continuous operation.

The Action Library—What Is It?

It is an innovative innercity library and learning center in a black community of 17,000 residents. There are 4,700 school-age children in the community, including about 200 educable retarded children. There are four public and two parochial elementary schools, and the nearest public library is nearly a mile from the center.

The Action Library represents a unique combination of a number of distinctive features:

BLACK FEELING

With the inspiration of Bobby Fisher's victory, no doubt, interest in chess has run high among ACTION LIBRARY patrons and has resulted in many matches. Other games are in evidence at the ACTION LIBRARY, too, and are often used by staff to spark a group's interest. Some aspects of the evaluation will be covered through use of especially designed games.

1. It provides a multimedia collection—much of which is available on loan—of books, paperbacks, periodicals, pictures, learning games, records, record players with headsets, reading machines, films, typewriters, and a large aquarium and terrarium. Many of the items can be assembled into a "package" on a given subject. The entire collection is tailored to the interests, needs, and life styles of the clientele.
2. The staff includes librarians for adults, young adults, and children, an audio-visual specialist, a reading and a special education teacher, a community worker, and 20 aides who are residents of the community.
3. Program activities are designed as the means for bringing the user and the collection together. A variety of traditional library programs (story hours, slide and film shows, book discussions, guest speakers) are combined with not-so-traditional activities (learning games, chess, remedial reading classes, tutoring, and photography) to provide the widest possible variety of stimuli to use of learning materials. Recently a series of black culture sessions (to arouse interest in the black culture collection) included a discussion of a film on Billie Holiday's life, a display and playing of all her recordings, a discussion of her autobiography and other materials on jazz, and a guest speaker. The series also presented a review of African ceremonial dances, attendance at "Les Ballets Africanes," display and playing of recordings of African ritual music, and a special presentation on Guinea. It offered a trip to a black culture exhibit followed by a discussion of black artifacts, using Action Library materials. Each of these programs was planned and arranged in concert with the target community's schools.
4. Going out into the community to encourage students, residents and parents to visit the Action Library has been an important staff function. Making contact with teachers in the schools of the community has been an invaluable means of reaching students and of coordinating program offerings. This

Participation and involvement are the passwords for arousing students' interest in learning materials. Here some boys are assisted by the staff media specialist in making their own slides.

has been especially effective with children who have reading and other handicaps. Special "packages" of written material and audio-visual materials are sent to parents of the mentally retarded children, accompanied by visits by the special education teacher.

5. The environment stimulates curiosity and interest. Attractive appointments and color are used to create a warm, relaxed, and inviting atmosphere. There are small rooms around the central area for private study, reading, "rap" sessions, instruction, and film shows, as well as for browsing.
6. The Center is open from 10:00 a.m. to 8:00 p.m. weekdays, and 2:00 to 5:00 p.m. Sundays. There are few rules and regulations, informality is encouraged, and there are no fines.

What Are the Results?

A set of some 70 objectives for the demonstration provides the framework for the systematic evaluation. Among the most important are those relating to changes in students' attitudes toward libraries and learning resources and in basic reading and reference skills. These changes cannot be measured for several years; others, such as increased use of library and learning materials and support by the community, are being documented presently.

Much has already been learned during eight months' operation. Clearly, the target community has accepted the Center as a positive element. More than 50 per cent (2,500) of the student population is registered with the Center, and the daily average attendance is 140-150, ranging from 50 on a Sunday afternoon to 225 on a Friday. (The busiest hours are from 3:00 p.m. to 5:00 p.m. weekdays, which confirms one of the survey findings, i.e., that young people want to use libraries *after* school hours.) Total circulation has exceeded 17,000 items, including records and magazines as well as books. A Community Advisory Board meets monthly with at least one-half of the members present for every meeting. It has begun publishing a bimonthly newsletter on Action Library activities and has participated enthusiastically in many phases of the library's operation.

No materials or equipment have been lost or damaged; and in a community characterized by graffiti, vandalism, and theft, the Action Library has been free of these. Requests from Philadelphia educational and library agencies for visits, presentations, and resource loans have exceeded the capacity of the Center to meet them.

Some adjustments to programs have been made as a result of the evaluation:

1. The African Culture collection was not popular, so it was expanded to broadly represent American culture.
2. General film showings (every Tuesday and Friday afternoon) attracted too few viewers; they were terminated, and special film showings (for a particular age group) in a closed room were substituted.
3. Color television (in the lounge) became popular with certain clientele who did not participate in other programs; it has been curtailed but not eliminated and is more carefully supervised.

The evaluation plan based on the specific objectives is considered one of the most important components of the Philadelphia project. It will test and document the effectiveness of the demonstration and produce information about workable techniques and programs that may be diffused in Philadelphia's three major library systems and elsewhere in the country. Evaluation procedures are as unobtrusive as possible, often conducted as an integral part of the services offered, in order not to interfere with the service orientation of the demonstration.

The City Game

The Alternate Learning Project (ALP) is an experimental high school in the city of Providence. Its support comes from a Title III grant and a prorated city share which increases annually. There are some 100 students in the project, all of whom chose to come to *ALP* and were selected for it by lottery. Racially and socio-economically, the student body profile matches that of the city.

ALP's base of operations is a former bowling alley in the center of downtown Providence, from which its students fan out into the entire metropolitan area. Its students can be found in hospitals, health centers, law offices, art studios, radio stations, and other working locations in the community. They hold positions such as teachers' aides in the city schools, apprentice actors in repertory companies, and assistants in architectural and design firms. Volunteer help for the school is drawn from such diverse sources as area colleges and universities, business schools, individual doctors, lawyers, mechanics, artists, musicians, and the entire business community.

ALP works toward providing an opportunity for its students to forge a new relationship between their education and the city in which they live. Toward this end, the school seeks to employ to maximum advantage in the education of its students the resources of the entire city, this being consistent with its philosophy, which would stress the blurring and ultimate eradication of the line between learning and life.

Curriculum

The curriculum of *ALP* has two major parts: *The City Game* and *The Arts Cluster*. Within these two major divisions, there are several "package" areas from which to choose. Each student is asked to commit himself/herself to one of these areas for four months, September to January or January to June.

The City Game has as its focus the issue of social and political change in the city of Providence. Within *The City Game* there are four major areas:

- Health and Welfare: includes work in medical care, problems of the aged, drugs, mental health and retardation, social welfare, and ecology;
- Law and Justice: includes work in civil rights and liberties, juvenile justice, and contemporary issues in law enforcement and state and local government;
- Education: includes work in early childhood development, alternate theories of child-rearing, problems in innercity education and on "changing the system";
- Communications: includes work in journalism, radio, video, and creative writing.

The Arts Cluster consists of instruction and practical experience in one of three major areas: Performing Arts—theater, music, and film study; Visual Arts—painting, drawing, ceramics, weaving/macrame, sculpture, crafts, photography, and film-making; and Introduction to Design and Construction—architecture and design, carpentry, mechanics, and construction.

Each student who selects a "package" within either major division commits himself/herself to participate in the following:

1. *Field Placement*—six to 15 hours a week of work at a community site in the student's area of interest and competence.

2. *Field Workshop*—three hours a week; a seminar of all students in a given "package," e.g., Health and Welfare or Education. The workshop provides students with an opportunity to evaluate their work experience, compare notes with other students, hear speakers from the city on subjects that relate directly to their work, and engage in appropriate reading and discussion. Students in *The Arts Cluster* workshop pursue issues which relate directly to the creative process and to their particular fields of creative endeavor.

3. *The Seminar*—three hours a week; a class that incorporates an interdisciplinary approach to the problem of individual identity and personal freedom, and the relationship between thought, feeling, and action. Employing both carefully selected written materials and interpersonal encounter techniques, the class allows students to discuss personal and social problems freely and to develop a sense of cohesion with one another within an atmosphere of affinity and trust.

4. *Field-Related Courses*—courses of study which relate to the "package." They are made available at the school, at area colleges and universities, on-site, in the other high schools, through individual tutorials or in programs of independent study. Their purpose is to provide students with a range of skills and a depth of knowledge in a particular area.

Students also have the option to take a variety of other courses, including traditional college requirements as well as workshops in special interest areas such as art, science, and the humanities. Courses can be taken at *ALP*

This article was written for the Title III Quarterly by Mr. Lawrence Paros, Director, Alternate Learning Project, *Providence, Rhode Island.*

Student intern working as an aide at Rhode Island Legal Services

or elsewhere in the community. This allows students who do not wish to study in one specific area to develop their own courses of study from the entire curriculum.

The richness and diversity of the curriculum can be seen from the listing of courses and site placements offered this past semester. There were close to 50 site placements in the community in such varied locations as the Providence Police Department, a major veterinary hospital, and Operation Headstart. Eighty-eight different courses were taken by *ALP* students, of which 34 were individual tutorials and 15 had only two students; coursework ranged from work in traditional courses such as

Algebra I to individual instruction in the flute and a workshop in guerrilla video.

Student Programming

There is no typical student schedule at *ALP*. However, it might be helpful for the reader to understand the range of options available to a student who professed an interest in a particular area, such as medical care.

A site placement could be chosen from the following:

- *Neighborhood Health Centers*—including a training session covering basic duties of first-level health aides. Duties entail observing the activities of the primary health team, assisting nurses in the performance of their rounds, and aiding in research to determine the quality of care.
- *St. Joseph's Hospital*—an integrated series of rounds introducing the student to every department in the hospital.
- *Rhode Island Hospital*—working membership in a physical therapy team.
- *Boston*—childhood hypertension research, duties to include visiting patients' homes and writing reports. Also, clinical work in gonorrhea studies.
- *Providence Health Centers, Social Service Division*—apprenticeships with a social worker, involvement in social problems relating to illness, welfare, unemployment, and legal assistance.
- *Planned Parenthood*—teen-age sex counseling, training plus position on staff.
- *Pleasant View and Meeting Street Schools, Zambarano Hospital*—work with the retarded.
- *Roger Williams Hospital*—emergency room observation and assistance.

The student would also select a section of the Medical Care Field Workshop. Choices include a project workshop entitled *Health Care for the People*, the primary thrust of which is the dissemination of information on medical services to the poor; a seminar in *Cross-Cultural Study of Medical Care;* or a career-education class entitled *Options in Medical Training*.

Field-related courses available include work in anatomy and physiology, chemistry, and/or appropriate classes in the social sciences. If the student is so inclined, in addition to the seminar, he/she may also choose to take work in languages, mathematics, the arts, or any other area in which he/she is interested.

Student Responsibility

If there is one major goal of the project, it is to return to its students the *right and the duty* to make the major decisions concerning their learning and their life. Student responsibility in the school entails many things. Students shape their own programs of study and work. Staff and students come together in town meetings to make decisions on matters of internal governance in the school and to discuss day-to-day problems. The Community Review Board, a committee of students and staff, handles violations of one community member against another. There is student representation on the Community Advisory Council which deals with matters of general policy. Students and staff together are responsible for the upkeep of the school building and its maintenance.

Parent Involvement

The project also hopes to serve as a vehicle through which parents and students can come to a new understanding of each other as persons. Some parents teach in the school, others help in its construction. Their representatives sit on the Advisory Council which discusses general policy.

Student-Adult Relationships

ALP is characterized by a continuum of confrontation, testing, and dialogue between all its members. It provides a "new" way in which the young might deal with adults both within the school and outside of it. It thus meets the adolescent's need to experience adults in something other than a custodial capacity and to engage adults in dialogue in order to discover what a just person and a just social structure might be.

Grades

On the thought that grades are both highly inadequate and impersonal in judging a student's progress and response in a given learning situation, *ALP* students receive detailed evaluations from their instructors and site supervisors and also record their own estimation of the work accomplished and the quality of teaching received. In this way both teacher and student are held personally accountable for the work, while being responsible to each other for the general worth of the class or field placement. Neither teachers nor students can conceal themselves behind grades; they must face each other as people working within the framework of commitment and mutual responsibility.

Staffing Pattern

The entire program of *ALP* is managed and coordinated by a core staff consisting of its director, four teacher-counselors, a program assistant, a community liaison, an internal evaluator, and four college interns. There are some 80 volunteers from the community, recruited and coordinated by the core staff.

Staff responsibilities are varied and full. Staff members engage in a round of clerical and administrative duties, teaching, counseling (academic, personal, family, and employment), coordinating "package" areas, and playing the broker between students' needs and community resources. The staff meets intensively and regularly. The making of decisions and their implementation is characterized by horizontality and a consensual validation seldom found in traditional schools. Staff cohesion is high, as is the commitment of time and energy brought to the project.

Project Success Environment, Atlanta, Georgia

Classrooms Without Failure

Discipline referrals from an innercity class down to near zero? Elementary classes composing formal petitions asking to be taught in a specific way? A little girl crying when the weather prevents her from going to school? The three-word explanation of these phenomena: *Project Success Environment.*

Project Success Environment (PSE) operates in East Atlanta. This area has the problems typical of any innercity neighborhood; half the housing is substandard, unemployment is twice as high as in the city as a whole, 50 per cent of the families have no full-time male member. Children here also reflect the problems typical of an innercity environment: poor academic performance, school absenteeism, delinquency, and dropping-out characterize many of them.

Most innercity children experience scholastic failure early. Knowing only failure, they expect to fail, and they do. *Project Success Environment* changes this. A three-year project funded by ESEA Title III in June of 1970, the project operates in five schools, three of which comprise the research base. The comprehensive *Success* effort includes 51 classes, while the research base encompasses eleven elementary school classes from first through fifth grades and three three-member teaching teams at the middle-school level, involving a total of 20 teachers. The project replaces the failure environment with a success environment; it provides successes for the students to build on. The success environment has three major components: (1) inclass application of behavior management techniques, (2) a specially designed classroom, and (3) a modified curriculum.

The behavior management technique utilizes immediate positive reinforcement of desired behavior—a tangible reward coupled with descriptive praise. The overall purpose of positive reinforcement is to increase occurrence of the reinforced response. The technique accomplishes three major goals: (1) the student receives an immediate taste of success and an accompanying positive feeling toward the school and his teacher; (2) if reinforcements are properly administered, the student feels he has earned them, thus has coped successfully with his environment; and (3) reinforcement for work accomplished provides direction and motivation for learning.

Strict guidelines govern the administration of positive reinforcements. Descriptive praise accompanies each reward. The teacher says, "Thank you for raising your hand, Cedric. You have earned a checkmark," or, "Rosalind, you deserve this ticket because you are working so hard in your workbook." Descriptive praise tells the student *exactly* what behavior is being reinforced and that the reward is the result of his own efforts—not a gift. Reinforcement must be *immediate;* the teacher cannot reward Johnny at 2:30 for working hard at 10:00. Finally, reinforcement must be *positive*. Many students misbehave to get attention. When they succeed, negative behavior is reinforced. In a *PSE* classroom, the teacher uses the technique of "ignore and praise." Unless disruptive behavior is dangerous to others or so persistent that the teacher can find nothing positive to reward, she ignores it. Instead of punishing the offender, she focuses on a nearby student exhibiting the opposite behavior and rewards *him*. Only positive behavior succeeds.

Observers frequently expect a *PSE* classroom to resemble Santa's workshop—candy and toys everywhere. Not so. The Tootsie Rolls, M & M's, model cars, and hair picks rapidly disappear. Used initially because they are items which the students immediately relate to and find desirable, the tangible rewards are never the only positive reinforcers. From the first, the teacher emphasizes activity reinforcers; a student may earn the privilege of being playground leader, spending extra time with art materials, or even of being a miniteacher. To be a miniteacher is to be a successful person—just like Teacher. This opportunity to model on a positive adult has unquestionable benefits. The major activity reinforcer is the activity room, and each school has one, equipped with the toys and games students most enjoy. Usually after four to six weeks of school the students understand the reinforcement system and are highly motivated to succeed. At this point, the teacher phases out tangible rewards and relies solely on activity reinforcers and verbal praise.

A framework for positive reinforcement exists from the first day of school. During preplanning, each teacher has used specific guidelines to formulate a set of classroom rules which are prominently displayed. These rules must be brief and specific, must be worded positively, and must number no more than five. As each student enters, the teacher rewards him just for being there—with candy and a "success card" in elementary school, candy and a ticket in middle school. As class begins, she

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This article was written for the Title III Quarterly by Mr. Marion Thompson, Director, Project Success Environment, Atlanta, Georgia.

Instead of responding directly, the teacher appears to ignore their behavior, but moves to a student near the disturbance who is exhibiting desired behavior and rewards her with praise and a checkmark.

At last! Now that the student is behaving appropriately the attention and reinforcement he wants are his. Only desired behavior succeeds.

explains the rules and the system of reinforcement: elementary school children accumulate checkmarks on their success cards, trading filled success cards for rewards; middle school children accumulate tickets. A list of rewards and their "prices" is displayed in each class. Because the initial emphasis is on clearly defined conduct, every child *can* succeed. The teacher's job is simply to make sure that each child does!

After approximately one month, a *PSE* class generally has far fewer interruptions than a regular class. At this point, reinforcement of behavior becomes intermittent and less frequent (intermittent reinforcement creates a more consistent response rate), and the teacher emphasizes academic performance. Students receive reinforcement for finishing work, for working hard, and for mastery of material. Here too, the positive is emphasized. Answers are marked "correct," not "wrong." If a student has a hard time with material, the teacher stops, encourages the student, points the way to success, and promises to return shortly.

Frequent tangible reinforcement cannot occur in a lecture situation, so a *PSE* classroom provides for small groups. Typically, a class is divided into three flexible groups based on reading level. Desks are placed in a U-shape, with each group having a clearly defined area. This is the mastery center. Interspersed around the room are five interest stations: Art, Games and Puzzles, Library, Communication, and Exploratory (science). Materials in each station have a high interest level and require little teacher supervision. Generally classes are divided into 30-minute periods. While one group works with the teacher, another does seatwork, and a third is scattered at various assigned interest stations. Working directly with only ten children at a time, the teacher is easily able both to experience direct contact with each pupil and to provide immediate reinforcement. An unusual feature of the *PSE* classroom is the shelf. Each class has a shelf containing material especially attractive to students—"Wolf Man" magazine is a big item in the middle school. A student who has correctly completed his work before the rest of the class can go to the shelf and select materials to bring back to his seat. Boredom is avoided, and going to the shelf reinforces quick and accurate completion of work.

Carefully planned curriculum is essential to the success of the project. For the technique to be effective, each student must taste academic success, must be assigned workable tasks, and must receive immediate reinforcement. Using these criteria, the staff modified the standard curriculum of the Atlanta Public Schools. Though they created many materials themselves, most are available commercially. In each class, materials selected were appropriate to the levels of each of the three groups. In each content area, the curriculum was subdivided to create modules that could be completed, evaluated, and reinforced daily. For example, skill sheets are given out in each subject area. These serve the dual purpose of providing daily practice and immediate feedback and reinforcement. Finally, some programmed materials, such as the Sullivan reading program, were added at every grade level.

The traditional approach to discipline—be good or be punished—is disastrous in a *PSE* classroom. Most teachers, however, need help abandoning it. Though the staff of *Project Success* has the usual complement of people oriented toward research and validation—two consultant psychologists, two behavior management technicians, and a research assistant, a statistician, and paraprofessionals trained to collect data—it emphasizes teacher training. In a three-week seminar workshop oriented toward the practical experience of working with pupils first-hand, the staff works with *PSE* teachers, all of them volunteers, explaining the theory of behavior modification, providing classroom settings for the application of behavior management principles, and planning curriculum. Throughout the year, two teams, each composed of a teacher coordinator and a lead teacher, work with project teachers and principals helping them solve problems and obtain necessary equipment and materials. Each week every *PSE* teacher meets with the coordinator to discuss the class and receive personalized inservice training.

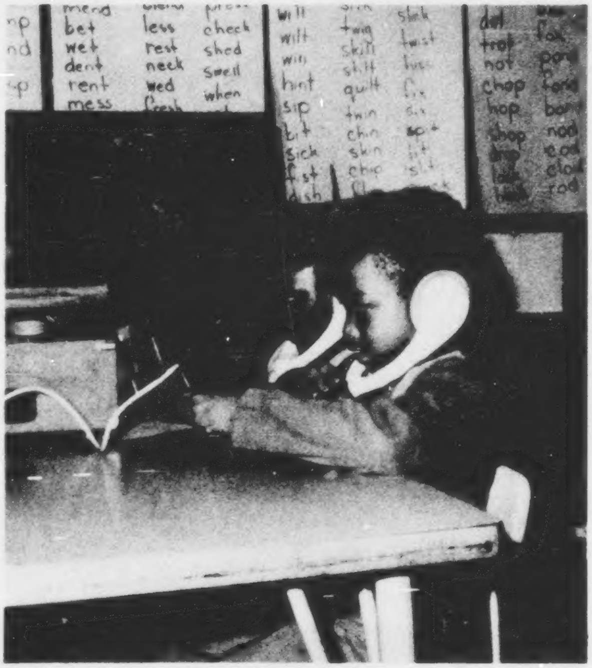
PSE teachers provide significantly more rewards and fewer punishments than control teachers, and *PSE* classes exhibit dramatically less disruptive and more on-task behavior than control classes. Some classes which have been in the project two years have gained an average of 20 I.Q. points and all classes but one have shown more gain than the control classes. In achievement tests, *PSE* pupils have made highly statistically significant gains, and in fact, no statistically confirmed gain has favored a control group.

As to cost, *PSE* has worked out a method enabling its technique to be introduced into a local school for approximately $12.00 per student.

The cost is relatively low. The gains, relatively great. In the words of one of the project's consultants, "It may, just may, provide one of the desperately needed breakthroughs in elementary and middle-school practice."

NAME 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19

In each classroom, charts illustrate students' successes. Each child keeps his own record. Besides providing a feedback on how the teacher is providing reinforcement and on which students are not involved in the technique, the charts help each child feel pride in his accomplishments.



Not only is the interest station essential for grouping, but it provides students a break in routine.

Students in a biology class immerse themselves in a swamp area as they learn about swamps and their own reactions to them.

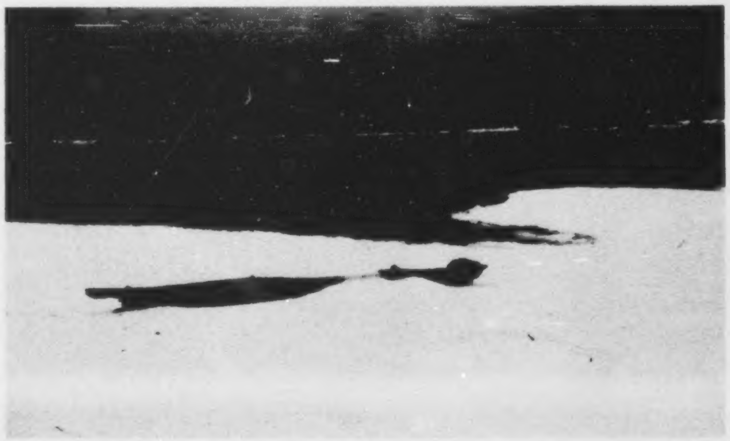
A summer bicycle trip to Prince Edward Island pulls into a small Canadian town on its way from one campsite to another 50-75 miles away.

This student is using a balance apparatus which is part of physical education program designed to develop self-confidence.

Hamilton, Massachusetts

PROJECT

Project Adventure, a Title III project of seven Boston-area school systems, is based on the belief that there often is little in the experience of being a high school student which is meaningfully directed to the student's social, psychological, or ethical growth. The project aims to give students opportunities to develop, in environments outside the classroom, ability and skills to work together to accomplish specific goals and thereby to view themselves as worthwhile, competent persons.



Students walk the beach of a wildlife refuge during winter.

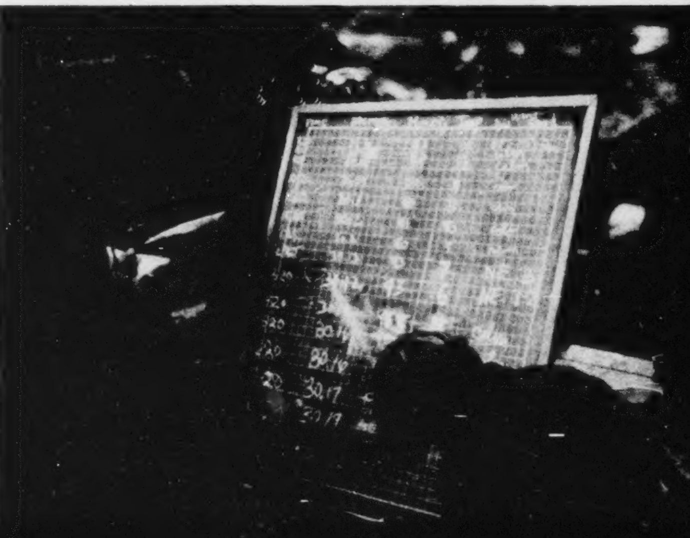
LEFT—Two tenth grade students involved in a group problem involving a twelve foot wall. The problem is designed to be used as part of physical education program aimed at building decision-making skills and group cooperation. CENTER — A tenth grade student goes across a "Burma Bridge", having climbed a thirty-five foot rope ladder as part of a physical education program required of all tenth graders. RIGHT—A student, having let himself drop from thirty-five feet, is brought to a safe stop as he approaches the ground.

ADVENTURE

The project has created a wide variety of curricular and extra-curricular units, including a compulsory tenth-grade physical education program based in part on concepts of Outward Bound programs, experience-based learning units which can be integrated into the regular curriculum, an eco-action group, seminars in marine science and sea literature, outdoor trips, science-related trips, and a counseling process which runs through all these activities.

A group of biology students about to set out for an overnight exploration of a seacoast area. The dories were made within an inter-disciplinary course called "The Sea As Teacher."

Ninth grade students on a two day earth science field trip learn about the use of map and compass.



Students on an earth science trip write down data collected hourly for 24 hours on weather conditions.

Ways and Means

New Structures for New Programs

Project LEM, Hackensack, New Jersey

Project LEM (Learning Experience Module), a Title III program of the Hackensack, New Jersey, public schools, is an open educational plan featuring multiage, multiethnic groupings, individually prescribed instruction, and optimum space utilization. It resulted directly from an effort of the local Board of Education to solve the problem of overcrowding in an elementary school while at the same time designing and developing a new educational approach. The stated objectives of the project are to utilize existing space efficiently and flexibly, improve students' skills levels, provide individualization and flexibility in the curriculum, develop positive student attitudes and self-concepts, and engage parents directly in the education of their children.

Initial planning concentrated on revitalizing the interior of Hillers School, which had experienced a 20 per cent increase in student population between 1960 and 1970 with no physical additions to the school plant. By 1972, it had become necessary to secure rented facilities to house ongoing education programs.

During *Project LEM's* first year, four traditional classrooms and their adjoining corridor in one wing of the school, which previously had accommodated 100 students, were converted into an open-plan learning center which can be used by 125 students. Similar modifications of facilities followed in the next two years, and the project constituted three learning componets, LEM I, II, and III, each consisting of two grades, second through fifth.

Each *LEM* is structured in home-base groupings which are heterogeneous and assigned to specific teachers for daily meetings, and skills groupings formed on the basis of achievement level and instructional needs of children in reading and math. Groups studying social studies, science, and cultural arts are based on the home-base unit and participate in learning experiences in these areas on a rotating plan. Each teacher selects and is responsible for the subject in which she feels the greatest competency.

All staff members were neophytes in open-plan organization and techniques at the beginning of the *LEM* project, and summer workshops were initiated to give teachers exposure to expert opinion, directed experiences, and specific instructional techniques. Tasks started in the workshops are continued throughout the year and have resulted in teacher-made activity materials and sequential packets of work for individualized instruction.

LEM activity involves parents in workshops, open houses, school visits, home visits by teachers, small-group discussions led by the staff or the project advisory council, and frequent phone contacts, conferences, and written evaluations.

Don't Drop Out—Walk In

Walk-In School, Columbia, South Carolina

The Walk-In School, a Title III project of the Columbia, South Carolina, public schools, is offering an alternative form of education to students who have turned off traditional school experiences. While school personnel, parents, community agencies, and others may refer a student to the *Walk-In School*, only the student himself or herself may make the final decision as to whether to enter the program. A screening committee acts on the application, and a personal interview with both student and parents is required as part of the enrollment process.

Once he has entered the school, a student may remain until graduation or may transfer back to his regular school program. He remains on the rolls of his home school, and attendance data and credits are furnished the home school by the *Walk-In School*. The students may participate in academic and extra-curricular activities such as sports and clubs in their home schools as well as at the *Walk-In School*.

The Walk-In curriculum is developed around an ungraded program designed to award credit on an individual contract basis. An instructional contract is a written and signed agreement between student and instructor to reach a prescribed instructional goal. A student may work on from one to six contracts at any time, and there is no failure; either the student receives a "pass" or a contract is renegotiated. If the student has contracted to receive a grade, he will be given one; and in some instances he may contract for a specific grade.

Contracts in mathematics tend to be consumer-oriented and developed around checking accounts, income tax, insurance, and large purchases. Contracts in the sciences place emphasis on the practical usefulness of information in the future; for instance, a contract negotiated by a student interested in nursing may deal primarily with the study of human anatomy. There are many multidisciplinary contracts, as well as contracts in art, industrial arts, music, home economics, business education and physical education. Learning opportunities at the *Walk-In School* are as varied as the Columbia community, and a student may work with an instructor to develop a contract around almost any subject in which he has an interest.

The atmosphere of the *Walk-In School* is relaxed and informal but purposeful. There are no bells or schedules; students follow their own individualized programs; and staff and students operate on a first-name basis. Restrictions are at a minimum, and the few basic regulations are jointly determined by staff and students. Open school meetings on each Friday afternoon usually include a sharing of mutual concerns. Projections for the near future are for opening the school one or two nights a week and on weekends for informal discussions with parents and interested persons in the Columbia community, and there are also plans for the development of more out-of-school learning experiences.

A Place for Planning and Reflection

Alternative Schools Project, Radnor, Pennsylvania

Over 300 high school students from Philadelphia and five suburban communities are enrolled in the *Alternative Schools Project*, a two-campus nongraded program now in its second year. With funding from Section 306 of Title III, this project is a cooperative effort of the Philadelphia School District, five neighboring communities (Abington, Cheltenham, Lower Merion, Radnor, and Springfield), the University of Pennsylvania, and the Pennsylvania Office of Education.

The project has two semi-autonomous sites; at each, teachers and students have responsibility for major decisions regarding program and internal school policies. The Operating Board, which sets overall policy for the project, is comprised of representatives of students, teachers, school board members, and superintendents from the six affiliated school districts. Each campus has an onsite evaluator who monitors the program, continually collecting information and reporting it back to the school community. This feedback system provides current information for students and teachers to use in improving the program.

In addition to having students from several different communities learning and working together, the project is experimenting with various settings, formats, and themes for its educational program. Cross-disciplinary approaches are being used and considerable learning takes place outside the school buildings.

Much of the impetus for this adventuring came from the experiences of the East School during a two-week period this fall when it was without a building. Depending on a support teacher system for contacts and communication—and on imagination and previously untapped resources for activities—the staff and students ran a real "school-without-walls" that had a larger percentage of attendance and enthusiasm than usual. Now in a suitable building, the participants are determined to retain the best elements of their prior experience, using the building only as a base—a place for planning and reflection—not as the center of all learning. The sallying forth, pooling of efforts, building on teacher as well as student interests are all qualities they want to develop further.

A Search for New Options

Alternative Continuous Progress High School,
Rutland, Vermont

In Vermont, the *Alternative Continuous Progress High School*, supported in part by Title III funds, provides an alternative form of education for self-selected students from Rutland High School and several neighboring high schools.

At the *Alternative School*, the year is divided into ten periods of from three to four weeks each, with a variety of minicourses offered during each of these periods. At the end of a minicourse period, the student may change courses or teachers, or he may keep the same teacher, and if there is enough interest, he may extend a minicourse as long as desired. A student may elect to do independent study for the rest of the year in one area after being stimulated by a particular minicourse.

The minicourses have been many and varied. In English there have been courses on Hemingway, Steinbeck, media, comic books, dramatics, film making, poetry, creative writing, individual reading, and visual literacy. In the social sciences the offerings have included Freudian psychology, American culture, sex and sexuality, the American Indian, Hinduism, economics, politics (which was a field course where students worked on local election campaigns), and government, again a field course with students meeting with committees of the State Legislature (one of the teachers was elected to that body). The math-science area included local geology, seed germination, horticulture, astronomy, astrology, computers, geometry, physics, and anatomy.

These minicourses enable students to get credit for the academic areas of English, social studies, math, or science. Since the school is nongraded, there are no grade-level requirements for any of the minicourses. In terms of student interest and involvement, the most successful courses are in a group which students call "Life." These minicourses include photography, where students have set up their own darkroom; building, where they supplied labor to build a garage and an addition to a house; welding; dance; Chinese cooking; pottery; hunting; trapping; icefishing; flytying; camping; automobile mechanics, where students find old cars and get them running; and small gas engines. According to the students, the success of these courses is largely due to the fact that they can become involved as actual participants rather than play the usual passive student's role. Several of the courses are taught by students.

The *Alternative School* currently operates in its own separate building, a rented frame structure 15 minutes away from the high school. While there are many advantages to a separate building, especially in the first few years of operation, an alternative school or program within the high school would enable many more students to sample this type of education. They could try it for one minicourse period and then return to the regular program. Alternative program students could more easily take college-required subjects such as foreign languages, which are currently not offered in the *Alternative School* because of the small size of the staff, and shop and laboratory space would be open to the alternative program.

Perhaps the most important aspect of the *Alternative School* is the atmosphere which is created by staff-student interaction. Decisions on curriculum organization and internal school management are made at all-school town meetings either democratically or by consensus. Students feel that they can (and they frequently do) criticize a class, the curriculum, the teacher. Everyone is on a first-name basis, and there is no subject, from personal habits to drugs or sex, that is considered taboo so far as discussion is concerned.

Learning Through Experiencing

St. Paul Open School, St. Paul, Minnesota

The *St. Paul Open School* is a research demonstration project of the St. Paul, Minnesota, public school system which attempts to combine in one total design many of the new patterns which are being tried in education at the present time. The project is based on the assumption that the task of improving education requires experimentation with various designs, especially those which show promise of providing an improved curriculum or are supported by a solid body of learning theory.

The key elements of the *Open School* are (1) advisor-advisee relationships, (2) resource areas, (3) resource persons, (4) integrated learning, (5) curriculum choice, (6) the teacher as facilitator, (7) the community as classroom, (8) affective emphasis, (9) building of life skills, (10) cross-age grouping, (11) a heterogeneous student body, and (12) shared decision-making.

At the *Open School*, learning is considered to have occurred when there is actual change in the person, an effect the school believes does not necessarily follow from traditional assign-study-recite-test educational practice. The *Open School* philosophy is that learning occurs through experiencing and takes place best in conditions of intense personal involvement when interest and motivation are high. To this end, the school bases each student's program on his interest, with the school's role being to create an enviroment in which exciting and stimulating activities for the mind are provided in a supportive, nurturing, and safe climate. There are no required courses; students select courses and activities and design their own programs. The teacher's role is that of a facilitator who assists in arranging learning experiences, clears obstacles to learning, suggests possibilities, helps students with personal goals, and in general functions as a friendly guide.

Many persons other than teachers work with the students in the *Open School*. Parents assist as volunteers, persons from the community with special expertise prepare materials or teach under the direction of the professional staff, and paid aides provide a variety of services. Students themselves often serve as teachers. Learning takes place in many locations other than the school itself, with the *Open School* committed to being just that—open to the community, rather than turned inward. The student population of the school has been structured to reflect the diversity of the city's population, and the competencies which the school attempts to teach are those which are needed in daily life in the world outside the school. Reading is such a life-skill, which is obviously important to mastery and well-being, and the desire to read is a powerful drive of young children, who sense that reading unlocks many treasures and secrets of how to do things and how things are. *The Open School* attempts to harness such drives for learning and also to satisfy those primary drives which sometimes block learning, such as the child's need to feel good about himself, to feel protected and safe from harm, and to have adequate physical care and nourishment.

The *St. Paul Open School* is one of the most ambitious of the country's alternative schools, enrolling 500 students in a nongraded program covering the years kindergarten through twelfth grade. The school has chosen not to advance its fundamental educational changes gradually, but to initiate them at the outset, in the belief that few alternative schools which take a more timid approach ever succeed. Since it is a part of the public school system of St. Paul, the school serves a special function as a laboratory for the testing of new educational ideas.

What to Learn and Where

Home Base School, Watertown, Massachusetts

In May of 1970, during a federally funded week-long planning session open to all citizens of the town, a committee of Watertown, Massachusetts, citizens concerned with education agreed that the community needed an alternative high school. The participants accepted the assumptions that students can learn in many places other than school buildings and that students should have an active role in making the decisions which affect them. The summer of 1970 was spent in a feasibility study which resulted in plans for the *Home Base School*, a small experimental high school of 100 randomly chosen, self-selected students in grades 9 through 12.

Watertown applied for and received approval for funds from ESEA Title III to supplement planning money and to develop an evaluation design appropriate to the new school. During the spring of 1971, six staff members were selected whose qualifications included certification in major subject areas and team leadership ability. It was strongly believed that almost all final decisions regarding structure of the school and its curriculum should be held until students had been selected and consulted. When the school community was complete, the long process of working out exactly what the school would be began. A series of large and small group meetings was held with students, parents, and staff to clarify goals and needs for all involved in the Home Base School.

For two weeks during the summer, students met to address the issues of new roles and responsibilities, the design of courses, planning of individual programs, identification of resource teachers and places, and the decision-making process to be used in the school. During a third week, the staff and consultants developed an outline for the evaluation design. A community advisory committee was formed to facilitate interaction between the various constituencies of the school and to involve people not directly connected with the school. Facilities consisting of four classrooms and one large multi-use room were leased from a cultural center in Watertown.

The main objective of the *Home Base School* is to provide a rich and varied environment for educational experiences and to encourage individual students, supported by the advice and guidance of staff and parents, to assume responsibility for the design of their own programs. Since students can learn in many different ways, in different places, from a variety of people, *Home Base* students are encouraged to utilize the educational opportunities available in the greater Boston community as well as in the school itself.

Home Base has had to deal with the problem, shared by all alternative schools, of providing sufficient information about the school and the student to enable colleges to make decisions on *Home Base* students. The staff and students have cooperated in attempts to overcome this problem. Transcripts include a summary evaluation of the student's courses, a letter describing the structure of the school, and a brochure describing the school's philosophy. Staff and students work together in preparing college applications, during evening and weekend workshops. Staff members accompany students on interviews whenever possible to answer questions about the school, and students are conducting a survey of admissions offices to determine the kinds of information required by them.

Performance as a Basis for Credit

Leo High School, New Haven, Indiana

Why do schools fail to motivate? The Leo High School, a part of the East Allen County School System in New Haven, Indiana, believes that one reason is the uniform time requirement for academic credits which is enforced in secondary schools to the disregard of the unique individual characteristics of students. Leo High took steps four years ago to set up an educational program which allows students to earn their academic credits on flexible time schedules adjusted to the particular needs of individual students. After four years of development, the high school has been given permission by the Indiana State Department of Public Instruction to grant credits based on student achievement of stated educational objectives rather than on the amount of time spent in course completion.

In attempting to establish a program based on the criteria that each student would progress on a continuous basis at his own rate, each student would be on an individualized schedule, and all students would progress on the basis of achievement of objectives, Leo High encountered a variety of problems, including the fact that the traditional patterns of grouping, time requirements, teaching to a class mode, and record-keeping had to be altered or completely discarded.

One of the first tasks undertaken by teachers was the establishment of educational objectives in each subject area. These objectives really became the content of courses, or in the Leo terminology, "the sequences." Forms were designed for student use, outlining the objectives to be achieved in a course and the criteria for measuring such achievement. "Learning packages" were then developed as the vehicle for carrying the learning objectives to the students, with each learning package centered about one major objective and including several behavioral objectives. The student knows from the package what he is supposed to learn and what he will have to do behaviorally to indicate that he has mastered the material. The demonstration of successful completion of the package may take the for mof a posttest. When a student completes all the packages or achieves all the objectives of a certain course or sequence, he receives credit based on Carnegie Units. The time he spends in acquiring the credit is determined, however, by his own individual decision and rate of learning.

After four years during which the credit-by-objectives program was developed and implemented at Leo, an exhaustive evaluation of the total effect of the innovative program on students is being made under a Title III grant. A comparison school which matches Leo as closely as possible (except in that it has a traditional educational program) serves as the base against which to measure data gathered from the Leo program. Criteria include cognitive achievement by students, attitudes toward school and learning, acceptance of responsibility, student self-concept and ability to communicate, the success or lack of success of graduates, and teacher acceptance.

School-Age Mothers

Continuing Education with Supportive Comprehensive Services, Milwaukee, Wisconsin

School-age pregnancy no longer forces a girl in the Milwaukee, Wisconsin, public schools to drop out of her classes, with the strong probability that she will never return to complete her education after the birth of her baby. Instead, a Title III project, *Continuing Education with Supportive Comprehensive Services to School-Age Mothers,* allows her to attend school at a Center set up to combine an ongoing education program with delivery of health and social services.

The Pitts Center for School-Age Mothers had its origins in a 1966 meeting of a group of concerned Milwaukee women who recognized that many unmarried mothers were receiving little or no social welfare counseling, that the families of the girls were rarely included when such services were available, that there was no program in Milwaukee for counseling putative fathers or their families, and that medical care was being delayed until too late in the pregnancies of most school girls. With financial assistance from the Wisconsin Department of Public Welfare and the Milwaukee Urban League, the concern of this group of women was brought to the attention of Milwaukee's professional and civic leaders. Workshops and conferences involving public health, education, and welfare agencies, both public and private, provided documentation of the problem and supported the view that there was need for comprehensive services to young unmarried mothers.

A proposal for a Title III project to provide continuing education with comprehensive supporting services was funded for operation beginning January, 1970. The project goals included education, health, social services, and community support. Approximately 60 girls (10th-, 11th-, 12th-graders) attend classes at the Center on all regular school days from 8:30 in the morning to 3:05 every afternoon, studying a curriculum which includes English, social studies, mathematics, business education, and typing. They are enrolled in four or five full-credit courses each, with a guidance counselor assisting them in developing their programs of study and in planning their educational and vocational futures. The project counselor communicates with school counselors and the project social worker in setting up a course of study which will lead to graduation or return to a regular school. A school psychologist is available for testing and for intepreting test data.

Health service is a vital part of the comprehensive program. Two Department of Public Health nurses participate in the original application interview, teach classes in maternal and infant care, and provide individual consultation and visits to students and their families in their home. Social services also are provided to all the girls and their families by the Department of Public Welfare, through initial interviews, continuing casework service, and social work group sessions.

Most girls are continuing or completing their educations; 17 of the first 69 girls to earn high school diplomas at the Center are continuing education beyond high school, and 85 per cent of the 10th- and 11th-graders return to school after the birth of their children. There has been a significant decrease in the percentage of problem pregnancies and infant mortality in the group.

To Learn from One Another

Project EPIC, Birmingham, Alabama

In Birmingham, Alabama, Title III's *Project EPIC* has a unique task. It is to design, implement, and evaluate an innovative program for a public school to be built as part of the Medical School and Teacher Education Center of the University of Alabama and the Birmingham (Alabama) Medical School. The key element of the project is that the school's projected enrollment of 500 will consist of equal numbers of typical and atypical children, on the assumption that mentally retarded children, those with learning or behavioral disorders, the physically handicapped, the gifted, and the average all have something to learn from each other. The project's goal is to develop a comprehensive approach to education which will serve all groups within the same school, and to ascertain thereby what such varied types of children can learn together and what they must be taught separately.

One underlying concept of *Project EPIC* is that many educational problems are not school problems but arise from the larger context of the children's social environments. Consequently, planning should include resources and services from the total community that can contribute to the solution of the problems that affect children. A variety of community resources and services is being utilized in *Project EPIC.*

A Lay Advisory Committee with cross-cultural representation from the local community is participating in the development of a comprehensive curriculum for the children, who come from varied ethnic, social, racial, and economic backgrounds. A Professional Advisory Committee, representing medical doctors and educators, is creating a communications model for bringing a variety of needed services to the child and parent.

A Parents Committee provides insights from parents dealing with both typical and atypical children. A Childrens Committee offers a view of the world as perceived by the child. An Input Specialists Committee with an interest at the practice level (teachers, counselors, and principals) is developing a wide range of alternatives relating to the educational process.

Primarily responsible for the development of the initial precepts to be included in the curriculum, the Curriculum Writers Committee is presently constructing curricula which will be responsive to the indivdual needs of typical and atypical children in the same setting. The 20 curriculum writers include a university professor of education, a school supervisor, and a classroom teacher in each of the three pupil age groups which will be included in the school—preschool, primary, and elementary.

Staff and Children's Advisory Committee meet at Project EPIC kickoff, September 6, 1972.

Eleven specialists on this committee are recognized authorities in the fields of behavioral disorders, learning disorders, speech disorders, education of the deaf, education of the physically handicapped, mental retardation, counseling and guidance, education of gifted children, movement education, cultural arts, and career education.

At the center of *EPIC* is the Community Resources and Services Model. Its purpose is to provide a continuous, individual pupil monitoring for every child. Given the problem, the child, his teachers, and his parents, the means will be provided to identify all available internal resources whch can be brought to bear for a satisfactory solution. When internal services are not sufficient, external resources will be used. This represents the basic concept of the *EPIC* project, which is that parents and children should not be left alone to locate needed resources and services when problems exist, but that the community should stand ready to help.

Four-Day Week for Students

The nation's first regular four-day student week (at least as far as local school officials have been able to determine) and an ESEA Title III project entitled *Individualized Learning and Responsibility Development* have been combined in such a way as to create a great deal of interest in a small rural school district in central Maine.

Maine School Administrative District No. 3 (MSAD No. 3), with its central offices in Unity and approximately 1,700 students scattered in ten sparsely populated farm communities, has received inquiries from all parts of the United States and from overseas asking about the district's efforts to bring about an effective blend of federal funds granted for the purpose of educational innovation, savings for taxpayers, a shorter school week for children, a teacher center for professional staff development, and a systematic change process involving balanced participation on the parts of parents, students, teachers, school administrators, and other district citizens.

How the Project Began

In the fall of 1970, the MSAD No. 3 board of directors sampled the opinions of district parents, students, teachers, and townspeople concerning the most pressing needs for improvement in the schools. The results of this survey indicated a widespread interest on the part of both children and adults in developing schools better able to provide for differing student interests, abilities, and learning rates and styles. The survey also revealed general support for a school environment in which young people could learn to take increasing responsibility for their educational growth and thereby increase their chances of becoming effective lifelong learners in a world where constant learning is needed to cope with constantly changing conditions.

However, at the same time that people in MSAD No. 3 were agreeing to the need for a more individualized educational program with an increased emphasis upon student responsibility, they were also testifying to the local property tax crunch that was hitting district taxpayers with more than average severity. A scanty industrial tax source, a below-average per-capita income, and skyrocketing property evaluations partly due to out-of-state real estate purchases have combined over the last few years to help produce large jumps in annual assessments to the towns for education.

District directors and school administrators were convinced that indications of a widespread desire for educational improvement, along with a rapidly growing local tax burden, put MSAD No. 3 in a favorable position to receive federal ESEA Title III financial assistance. With this in mind the directors and administrators put together a project proposal based on the findings of the opinion survey completed in the fall of 1970, entitled the project, *Individualized Learning and Responsibility Development*, and submitted it for funding beginning in the summer of 1971.

The project proposal was built on a model of coordinated systems planning. A planning and coordination (PAC) committee was to give general coordination and direction to four project teams working in the areas of staff development and supplementation, districtwide curriculum revision, public relations and dissemination, and research and evaluation. There were to be parents, students, teachers, and school administrators on the PAC committee and on all project teams.

The innovative thrust of MSAD No. 3's Title III project was not any of the individual elements making up the proposal. The twin goals of educational individualization and responsibility development are being pursued by a growing number of schools throughout the country. Also, coordinated planning of one sort or another is becoming increasingly common in education as well as in industry and government. But the unique dimension in MSAD No. 3 was the effort to pursue those goals and adopt these planning procedures on a districtwide basis, with a maximum of community involvement, in a rural school district with scattered population and limited financial resources.

Four-day Student Week Proposed

In the early part of 1971, MSAD No. 3 learned that its ESEA Title III proposal had been selected for funding. Also in the early part of 1971, the taxpayers in the district voted for the second straight year to cut the budget submitted by the directors by approximately ten per cent (the cut voted by the taxpayers during the March, 1971, annual district budget meeting was $130,000).

The District Superintendent of Schools suggested to the district directors that one means of absorbing part of this budget cut, while at the same time providing a significant block of prime inservice staff development time important to the success of the Title III project, was a student four-day week and a Friday teacher training program. The directors explored this novel idea with district parents,

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This article was written for the Title III Quarterly by Mr. David Day, Director, Individualized Learning and Responsibility Development, *Unity, Maine.*

students, and teachers, and with the state board of education. After several months of study and planning, the state board approved 18 four-day student weeks for the 1971-72 school year and the district directors voted the program into existence.

Since the beginning of the project in the summer of 1971, a basic premise has been that staff inservice development objectives and activities must be planned by the teachers themselves, with constant input from parents, students, and administrators, if significant educational change is to take place. Therefore, the project staff training team, consisting primarily of teachers with some parent-student-administrator representataion, plans all Friday workshop agendas on the basis of a constant reassessment of staff development needs.

In the summer of 1971, more than 20 district teachers volunteered to initiate pilot individualizing, responsibility-developing activities of their own choosing and design during the ensuing school year. They met together for an intensive five-day summer workshop, during which they invited in and interacted with educators with a reputation for maintaining successful individualized learning settings. They discussed the creation of learning environments in which children could work increasingly on their own or with one another, at varying paces, with opportunity to choose from several means of achieving educational objectives, in an informal atmosphere characterized by the arrangement of the classroom in terms of activity centers, and with the teacher functioning more as a motivator, guide, and resource person for individuals and small groups than as an imparter of information to large groups. The teachers experimented with these kinds of teaching roles and settings and began to prepare for classroom pilot activities that especially appealed to them.

Pilot programs were begun during the fall of 1971 in all of the six district elementary schools and at the consolidated junior high-senior high complex. These programs involved every major subject area and ranged from the creation of totally different classroom environments of an open, activity-oriented nature to the gradual introduction of individualized learning units within a more traditional setting.

During the 1971-72 school year most of the Friday workshop activities planned by the teachers were of a small group nature. Consultants were brought in from nearby universities, the state department of education, other Maine school systems, and educational consulting organizations as consultant needs were identified. As the year went by teachers felt less and less need for "outside help" and came to rely on one another almost entirely for ideas, support, constructive criticism, and task leadership. Workshop activities during the 1971-72 school year dealt with such matters as the process of individualizing, classroom management techniques, visitations to schools outside the district, teacher- and company-made equipment and materials that could be of help in the individualizing process, and the development of appropriate educational objectives and evaluation techniques. Teachers have usually been free on Fridays to choose from several optional activities planned by the staff training team or to design workshop activities of their own.

Favorable First-Year Evaluation

Evaluation of the MSAD No. 3 Title III project has been largely positive both on the part of people within the district and on the part of outside evaluators. Most of

Students help one another in relaxed environment characterized by varied pace of learning and various means of learning.

Teacher get-together during a Friday morning workshop to work on a curriculum development project in one corner of the teacher resource center.

those questioned attribute much of the success of the project to the four hours of staff development time spent on Friday mornings and the increasing involvement of parents and students, as well as teachers, in shaping the objectives of the project, determining the specific nature of the Friday workshop activities, and translating workshop plans into effective classroom improvements.

The state visitation team that evaluated the first year of project activities listed the following strengths in its annual visitation report:

1. Widespread willingness of teachers to change from previous styles of instruction and to try approaches to individualize instruction,
2. Adequate time allocated for inservice training and the flexibility of the program which has supported and initiated changes in the school,
3. Involvement of many persons—parents, teachers, staff, etc. in project activities.

Evaluation data from the first project year was favorable enough that Maine's Commissioner of Education encouraged the district to try a second year of student four-day weeks coupled with Friday staff workshops. The district directors found that student achievement had actually improved slightly during the 1971-72 school year as measured by the district-wide Stanford achievement testing program. A community attitude study conducted under the direction of the Maine department of education pointed to general approval of the four-day student week, staff development program, and resulting changes in the schools by a large majority of teachers and students and a comfortable majority of parents.

After weighing all evaluation data, and considering the fact that district voters by a 3 to 1 margin approved the 1972-73 school budget after two years of sizeable budget cuts, the MSAD No. 3 directors voted to adopt a four-day student week for every week of the 1972-73 school year. Friday staff development workshops have been developed along the same general lines this year as last year. Emphasis this year has been upon coordinated curriculum assessment and development, sequencing of learning objectives along continuous-progress lines, creation of a centralized teacher resource center, additional implementations of pilot classroom activities, work on coordinated classroom programs in such areas as art, drug education, vocational education and career awareness, volunteer recruitment and training, educational leadership development, and humanizing activities in the schools.

The Future of the Project

The process of moving toward a more individualized, responsibility-developing school environment is well enough established, especially at the elementary level so that the momentum should continue long after the three-year period of federal funding is over. Considerable time is being devoted this year to developing means of continuing on a long-range basis the process of coordinated systems planning, total community involvement, and regularly scheduled staff development activities that have been considered so essential to the success of the project to date.

Evaluation of the project involves weighing the advantages and disadvantages of the four-day student week and Friday teacher center activities. Disadvantages often stated for this arrangement are that some teachers feel they are not able to fit enough learning activities into the four-day student week; some district citizens believe that staff development programs should not regularly take place during the normal school day; and some parents find it difficult to provide constructive, supervised experiences for their children on Fridays.

Advantages often mentioned are that students are more rested and have a more positive attitude toward school; teachers have more time to carefully plan and implement improvement in their classroom programs; and students have an extra day for valuable growth activities in their homes, on jobs, or in optional cultural and recreational activities available in the schools and communities.

One teacher expressed a feeling prevalent in the district when she said, "I would want to see the four-day student week continued another year only if it benefits all elements in the community—students, parents, and teachers. But whatever happens to the four-day student week, I am convinced that one major key to the spirit of professionalism, enthusiasm, and commitment to educational improvement that presently exists in the district is the availability of regular periods of time when teachers can get together with one another, with parents and students, and with educators from outside the district, to work on making learning a more enjoyable, productive experience for us all."

Project Redesign, Albany, New York

A Statewide Program for Comprehensive Change

Can a state fundamentally reform its education system from within? A growing number of people in New York State involved in a Title III project known as *Project Redesign* believe it can, and they cite their own efforts as evidence.

A look at *Redesign* in action would reveal a variety of activities being carried on in widely separated areas of the state. A group of state education department professionals under the direction of a future-forecaster may be talking, arguing, and considering the implications of the writings of Bertrand de Jouvenel, Herman Kahn, Alvin Toffler, and Peter Drucker. A group of teachers, administrators, parents, students, and representatives of the state education department is wrestling with the problems of reading in an innercity school system. Teachers, students, and administrators in a small rural district in the far western part of New York State are considering sweeping revision of a middle school program, including curriculum, structure, roles, relationships, and organization. Groups in a small city near the Canadian border discuss the roles and relationships of community, board, and administration in improving a school system. A suburban school system outside of Rochester, New York is considering development and licensing procedures for a community FM station and is creating a variety of minicourses for the high school.

These five situations are part of New York State's *Project Redesign*, and it is their *Redesign* context that gives these activities their substance and direction. A statewide change effort which has now been under way for almost three years, *Redesign* is aimed at nothing less than total reform in education in the State of New York in the decade of the '70's.

Total System Reform

Many people have been dissatisfied with elements of education in America and there have been many efforts at reform. Differentiated staffing, team teaching, individualization, and open education have made changes and improvements in some schools, but at best they have been fragmented attempts at reform, missing fundamental revision of the total system.

In 1969, a group of educators from the New York State Education Department undertook the study of two basic questions: What is the mission of education in the coming decade? What are the kinds of programs needed to achieve this mission in this decade and in decades to follow? The result of the study was the identification of a need for total system reform of education in New York State and the creation of new collaborative relationships between all units of the system. The action arm to carry out the reform of the total system in the new mode became *Project Redesign*.

With total system reform as the goal, the next natural step was total system involvement. This has meant that the state education department, intermediate units, and local school systems, the school boards, administration, teachers, students, and community members are all active participants.

Getting Started

An effective change effort needs an operational philosophy, a direction, and an organizational structure. *Redesign* developed strategies to deal with all three.

Accepting the tenets of many modern theorists in organizational change, *Redesign* took as the major element of its operational philosophy a collegial and collaborative working relationship between various units of its change effort—the state, intermediate, and local systems. Equally important components of the philosophy are the elements of total system reform and total involvement.

To give the effort direction, to assure that it stood for something and was not simply a vague and general effort, time was spent developing a set of characteristics that would describe a new system of education. The *Redesigners* developed 24 characteristics which have become the guidelines for reform.

Methodology and Organization

Resources did not permit working with all 750 school systems in New York State at once. An alternate strategy was needed, and four prototype school systems were selected from 200 volunteers as representative of types of systems found in New York State: (1) a rural school system, Cassadaga Valley in the far western part of the State; (2) a small city, Watertown, near the St. Lawrence River; (3) a suburban school system, Greece, just outside of Rochester; and (4) a large innercity school system, Community School District 7 in the South Bronx in New York City.

Also selected was a Board of Cooperative Educational Services (BOCES) prototype to work on *Redesign*. The BOCES are the intermediate level agency of the New

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This article was writtten for the Title III Quarterly by Dr. William Webster, Statewide Coordinator, Project Redesign, Albany, New York.

York State education system which provides services to school districts which cannot afford to buy the services themselves. The BOCES prototype was to experiment with ways by which a BOCES unit would be able to reach its member districts to help them in the *Redesign* efforts.

To disseminate and test the learnings from the prototypes, 50 additional school districts were selected, and a Regional Network was established. Work in the Regional Network has been coordinated by 13 Regional *Redesigners* placed geographically throughout the State, who are responsible for communication between the prototype and the Regional Network school systems.

Components of Redesign

As the change effort unfolded, the work of redesigning divided itself into three areas: *Area A, comprehensive planning* which generates widespread understanding and support for the overall change effort; *Area B, action projects* which are rewarding and tangible changes and which clearly lead toward the achievement of the 24 characteristics; *Area C, management processes* which coordinate the entire effort.

Area A—Planning

Relating all activities and new projects to the vision of the future and to the 24 characteristics has emerged as the *Redesign* planning method. Future forecasters have worked with local systems to develop a creative view of what the new systems might be, avoiding a simple refurbishing of the present system.

Each prototype has made extensive surveys of its schools and communities. Furthermore, each system has developed a comprehensive snapshot of the future. For example, in one district 80 people, including members of the community, students, teachers, and administrators, participated in a series of seminars with futurists to help them analyze forces acting to shape the future of society. They then produced a working paper which was circulated throughout the community and reviewed by community groups such as the Grange and the Rotary. These groups made recommendations, and the final vision of the future was developed.

The steps, then, in developing a vision of the future have been an analysis of the schools as they are, a view of what the community schools may be in the future, and preparation of a paper that identifies the major characteristics of the new system of education.

Area B—Action Projects

Action projects have developed early in *Redesign*. They are seen as being necessary to keep people involved and to give the project credibility. More important, action projects have been used to develop in the systems a capacity to change, while at the same time building confidence in the system to take larger and larger strides toward the total system change. Each action project has been measured against the 24 characteristics and the overall vision of the future of the system.

Among the many action projects in the *Redesign* prototypes have been the development of new courses of

CHARACTERISTICS OF A NEW SYSTEM OF EDUCATION

1. Everyone in the community has the opportunity to be a student or staff member at any time during his life.
2. The new system of education manages learning resources under its aegis and coordinates all learning experiences using community resources. Resources are continually added and subtracted.
3. The general community is encouraged to use educational facilities and resources. Facilities are open, convertible, and flexible; resources are easily available and responsive.
4. The new system of education is self-renewing.
5. The organization is flexible and responds quickly to program needs.
6. The new system of education is based on the best we know and is constantly searching for and implementing new ideas.
7. The new system of education is continually evaluated at all levels by its own operations, as well as by outside resources.
8. Staff development is a continual, integral part of the program.
9. Staff members have a wide range of functions; different staff members perform different combinations of functions which are constantly changing and evolving.
10. Decision-making power is in the hands of those who are affected by the decision.
11. Each student has an individual personal plan which is continually updated and changed as necessary to maximize his potential.
12. There are many alternate ways of attaining the goals of the students.
13. Education is continuous and open: a student may be in any program at any level in which he is capable of performing.
14. Processes rather than information are emphasized.
15. Education emphasizes human values. Establishing a positive self-concept and a feeling of control over one's environment through active participation in decision-making are major goals.
16. A range of learning experiences emphasizes direct, real and relevant experiences.
17. Education emphasizes human interaction: equipment and facilities are means.
18. Education exists to serve the needs of people in the community. It is responsive to their needs and is held accountable: failure represents system failure only, not that of students.
19. The system has zero-rejections.
20. Education functions full-time, all day, all year, is available everywhere, and provides personal educational programs throughout the student's entire life.
21. The new system of education evolves by a process through which the community has gone.
22. A stated set of goals is translated into performance objectives and learning activities based on predictions about the future, extrapolation of the past, and designs based upon what people would like their future to be, as well as consideration of today's needs.
23. The new system of education has a student population with widely diverse backgrounds.
24. The new system of education has a carefully written plan, which describes it in detail.

study, organizing a pilot preschool program jointly with school and community, surveying and reorganizing an innercity reading program, starting an alternate high school in a rural community, and developing a community education center.

Area C—Management Processes

Management of *Redesign* has been aware of four needs: (1) maintenance of the ongoing system, (2) relating individual projects and programs to the 24 characteristics and emerging vision of the future, (3) development of a coordinated change structure, and (4) taking steps to join the emerging new system with the existing system.

Each prototype is developing a management structure joining citizens and professionals in the change effort. This structure has taken different forms in each of the prototypes. Some district management structures have had to be changed to meet the needs of the changing process.

In each community two major management processes have been instituted: (1) the development of a year's workplan made up of goals, objectives, and activities to accomplish that workplan; and (2) the assignment workplan concept. The workplan enables the district to determine overall yearly progress and furnishes the basis for the reporting system to the community as well as the SED. The workplan concept enables each individual or group, as they begin to work, to have a clearly written assignment. They in turn develop their own workplans, with dates, times, places, and people responsible for accomplishing the work defined. There is then in operation a day-to-day monitoring system as well as a yearly monitoring system.

Giving overall direction to the project is a *Redessign* Council made up of volunteers from various units in the state education department and the Coordinators, who work directly with the prototype systems. The Coordinators' work has been extremely important, serving as liaison between the *Redesign* Council and the prototype school districts. They work directly with the prototype school systems serving as consultants to the *Redesign* effort. In addition, they keep the *Redesign* Council appraised of problems and progress in the prototype school systems.

Learnings

The major learning from *Project Redesign* is that it is possible for a change effort to be carried on in a large state system. Evidence of this is that each prototype in the New York State system has an educational plan, and each has specific program efforts under way reflecting the new system of education. Each of the prototypes is developing the management capacity and the system capacity to deal with continued change and self-renewal.

It has also been learned that the collaborative, catalytic, and supportive role of the state education department is working; that involvement of all parts of the system is necessary for change: that simulation and futuring have been useful in developing a new system, as opposed to simply tinkering with the old system; that although a small amount of seed money is useful, large amounts of money do not seem necessary for dramatic change; and that good management and meticulous attention to small details are absolutely essential to a successful change effort.

Personalized Learning

Project PLACE, a Lynchburg, Virginia Title III program, was designed to develop a model elementary school program of individualized instruction. As the program develops, a concomitant objective is to train personnel and transfer successful elements of the project throughout the school district.

The central Virginia school system chose to attack the problem of individualized instruction because of a general dissatisfaction with the system's ability to serve individual learning needs through the graded, single-subject, single-textbook, lockstep curriculum program. Previous programs appear to have inhibited continuous progress and self-directed learning. An examination of the standardized testing program indicated that many students were failing to make appropriate progress from year to year. It was felt that the quickest route to "personal education," which would challenge students at their own level of learning, was the establishment of model demonstration schools through which intensive on-the-job training programs could be conducted for teachers, administrators, and parents.

To select appropriate activities in the areas of school organization, community involvement, attitude development, instructional approaches, and curriculum goals, teachers, principals, parents, and students were invited to participate in a systematic needs assessment and exploration of what other educators were saying and doing to develop schools for the 70's. More than 60 volunteers came forward, and a year of travel, reading, discussion, questioning, and brainstorming began. The end products of this effort were a series of committee reports recommending the types of approaches which should be employed in the model program. The instructional department of the division was then charged with locating previously developed components with the recommended characteristics which could be combined into a total school operation.

The instructional staff turned to the Virginia State Department of Education, the University of Virginia, and numerous regional education laboratories for recommendations and programs. It was felt that the organization and decision-making structure of the schools should create an environment responsive to the needs of students and professional staff. The Individually Guided Education (IGE) inservice materials developed by the Institute for the Development of Education Activities I/D/E/A were selected to provide training and direction for the school's operational environment. The IGE program features the multi-unit school (MUS-E) which initially was developed by the Wisconsin Research and Development Center for Cognitive Learning. Multilevel decision making, home-school communication, criterion-referenced learning program model, league association, multiage grouping, differentiated staffing, two-way communications, team-teaching, and action research are all employed as part of the IGE/MUS-E approach.

Lynchburg also selected two criterion-referenced instructional programs to incorporate into the model. In the area of mathematics it turned to the Center for Individualized Instruction Systems (formerly the Regional Education Laboratory for the Carolinas and Virginia) for the Individualized Mathematics System (IMS). The IMS program is a total basic mathematics approach which provides objectives, placement, pre- and posttests, instructional materials, teachers' directions, and a management system which enables a team of teachers to instruct a multiaged group of students individually and know exactly where every student is constantly. Laminated instructional materials allow re-use on a nonconsumable basis.

Since the schools already owned a wide variety of instructional materials for teaching reading, it was decided *Project PLACE* needed only objectives, pre-and posttests, and a management system. The project staff selected the Wisconsin R and D Center's Wisconsin Design for Reading Skill Development (WDRSD). The WDRSD includes all the basic elements wanted, plus a correlated resource guide which assists the staff in its utilization of its instructional materials.

To develop the learner independence and responsibility that it is felt are needed, personalized learning activity centers and teaching packages (modules) are developed by the teachers and made available to students who need the skills taught in the center. The centers teach specifically stated objectives and contain all directions, materials, pre- and posttests, and teaching treatments so that the student can be completely independent in their use. The centers support and provide alternate instruction for reading and mathematics objectives.

A psychomotor development program of Movement Education was developed locally with the assistance of Madison College. The component assists students in gaining physical control that enhances self-confidence and successful functioning in life. Specially trained physical education resource teachers work with the teaching teams to conduct the program.

Special concern was also registered for pupils who possess learning characteristics which make learning difficult

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This article was written for the Title III Quarterly by Mr. Edwin L. Warehime, Coordinator, Personalized Learning Activity Centers *for Education, Lynchburg, Virginia.*

for them in the traditional classrooms. A component was written into the project to develop a systematic instructional program so that "high-risk" children can receive appropriate learning activities in the regular unit classroom. This Early Intervention program assists the teaching team in the process of diagnosis and prescription. A staff teacher who notes the learning problem requests the assistance of the "strategist" (a teacher with special education training) to observe, test, and then help plan a variety of learning programs to teach the desired skill.

A decision was made to use two schools for models rather than one. Linkhorne Elementary, an open-space building, and Perrymont, a traditionally constructed school which has undergone some modification, were chosen because of their equivalent pupil populations in terms of size and socio-economic factors. The school system believed that evidence could be garnered to show that individualization can occur in an older building as well as a new building.

As another effort to insure exportability, portions of the programs were simultaneously installed in other schools in the city. A total of ten of the city's 15 schools joined the project. Both Title III and local funds were used in this program.

Staff selection was made and inservice training began in August, 1971, by putting more than 75 teachers on stipends for five hours per day for four weeks. Training and planning was conducted for each of the components and in the last week of August, *Project PLACE* instructed its first children.

Critical to the progress of *PLACE* was the extensive involvement of parents in many phases of the project. Each of the schools organized a community advisory council. The role of these councils is to serve as a two-way communication link between project schools and the community. Basic functions and responsibilities include:

1. To assist in program planning and evaluation, including the assessment of needs and the selection of project activities and priorities;
2. To assist in the mobilization of community resources and in the recruitment of volunteers;
3. To serve as a channel for responses and suggestions for program improvements;
4. To assist in the dissemination of information about the project throughout the community.

Each of the school advisory committees sends a single representative to be a member of the project community advisory council. These representatives join with other at-large members from the community to perform similar advisory roles citywide.

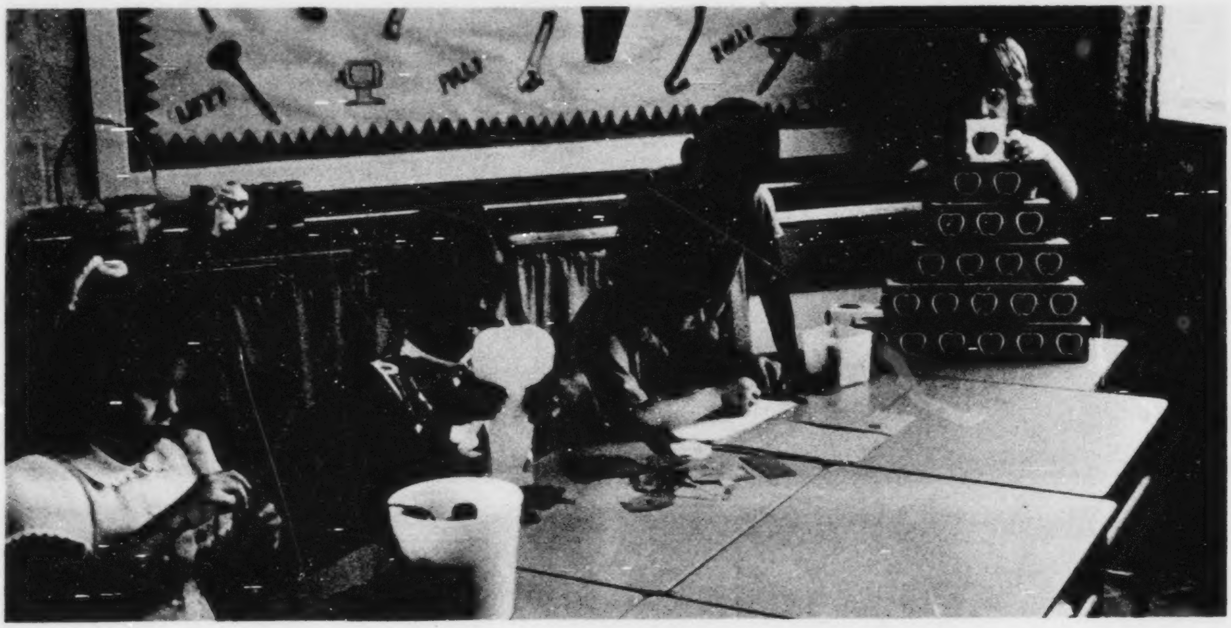
Parents serve as tour guides for visitors to the project, as tutors, and as affective reinforcers and assist with material preparation, pre- and posttest scoring, and story reading. They meet with parents in nonproject schools to introduce and explain program operations and encourage involvement. Others travel to nearby communities to disseminate information. One of the major efforts of the council which will promote long-range continuation of *PLACE* programs is to hold information sessions with

CENTER ARCADE

school board and city council members in order to encourage local funding support.

Regular parent/teacher conferences insure a constant two-way flow of information between home and school. Unit planning included regular invitations to parents to spend time observing in the school and classroom. Home-school communication is a vital element of *Project PLACE*.

Extensive testing and evaluation is under way, and first-year results are showing an increase in the number of students who are performing at or above expectancy in the areas of mathematics and reading. Improved self-concept and positive feeling toward school are being noted. Parents and teachers are supportive, and other schools are desirous of installing *PLACE* components. Conceivably, every phase of the elementary school will be changed by the program's activities, since new arrangements are being required for scheduling pupils, assigning teachers, distributing textbooks, evaluating pupil progress, and reporting to parents. In these and other ways, *PLACE* is making an impact on the educational process in Lynchburg and Virginia.



Ways and Means

Extending the School Year

Year-Round School Project, Asheville, North Carolina

A Title III grant to the Buncombe County Public Schools in North Carolina supports the *Year Round School Project,* which was designed primarily as a means to initiate a re-examination of the overall instructional programs of the two high schools involved in the project.

Adoption of the four-quarter calendar provided the impetus for other basic changes, the most significant of them an ongoing curriculum revision. To avoid the error of creating shorter-term courses by simply dividing the textbooks into sections and, using old methods and materials, calling it a new curriculum, the project staff has been familiarized with new techniques, materials, and theories of accountability.

The Learning Institute of North Carolina assisted in establishing a pattern around which courses of study could be developed to emphasize these innovative concepts. Through workshops and inservice activities, teachers are urged to evaluate the extent to which sequencing is necessary and to examine their goals in terms of a child-centered rather than a subject-centered program. Serious questions have been asked concerning the validity of many courses once sacred to the curriculum, and equally complex questions have arisen as to what man actually needs to know in order to survive and be happy.

The staff looked to students for input in the curriculum area, especially in English and social studies. As a result, students can now choose from among 25 to 30 courses which can make up the required twelve quarters of English, and they are able to meet their Amercan Studies requirement through a chronological approach to history, thematic studies, problem-oriented courses, and independent studies. The changing curriculum makes greater demands upon teachers, but concomitantly forces students into frequent decision-making roles.

Other options are structured into the curriculum. Having met a minimum residency requirement (a much-debated point), and having gained the necessary hours of credit, a student may graduate from one to three quarters earlier than his classmates who elect to follow the traditional attendance pattern. There is also opportunity to attend school for varying portions of the school day, which has been of particular advantage to students who might otherwise have found it necessary to leave school in order to work part-time. A major barrier to the year-round school in North Carolina, as in many states, is found in state attendance and reimbursement laws, but as these problems are solved, the flexibility of the four-quarter year is expected to contribute to the further improvement of the secondary school curriculum.

The Year-Round School

Dissemination of the Valley View 45-15 Continuous School Year Plan, Lockport, Illinois

A Title III grant to the Valley View School District in Illinois is making possible the dissemination of informaton regarding the *Valley View 45-15 Continuous School Year Plan,* one of the country's most ambitious and successful schemes for modifying the school calendar.

Each student in the five elementary and one junior high schools in the district attends school for 45 class days and then has 15 class days of vacation. With four rotating groups following this schedule, there are at any given time some 5,250 students in school and 1,750 on vacation. Instantly upon implementation of the *45-15 Program,* Valley View increased its building capacity by one-third; this was equal to adding two 30-room schools at an estimated cost of six million dollars.

The *Valley View Plan* was implemented after a long and careful process of planning, consultation, and involvement of affected groups. The professional staff, students, parents, and the community in general had to be introduced to this radical idea, and their reservations addressed. The present support for the program among all the constituencies in the community is testimony to the effectiveness, not only of the program itself, but of the manner in which it was introduced.

As word of the program spread, however, it became clear that this small school district, with limited resources and personnel, could not respond effectively to all the incoming requests for information and technical assistance. Hence the development of the Title III dissemination project, which enables Valley View to offer information to other school districts about the program and to plan with them for its possible implementation in their settings. The Valley View school district receives visitors, provides written information, and responds to specific questions regarding methods, problems, and financial implications of the year-round school. Follow-up questionnaires are used to determine the reasons for the initial inquiries and the extent to which the program is being adopted elsewhere.

City and Suburbs

Voluntary Open Enrollment for the Improvement of Intercultural Understanding in a Metropolitan Area, Rochester, New York

In an attempt to facilitate urban-suburban cooperation and understanding, the City School District of Rochester, New York, and its neighboring suburban districts are using Title III Section 306 funds to support a program of

Voluntary Open Enrollment for the Improvement of Intercultural Understanding in a Metropolitan Area.

Metropolitan Rochester's racial setting is probably similar to that of many other northern cities. The nonwhite population of Rochester city is 37.9 per cent, and increasing, while in the suburbs there are 150 white students to every nonwhite student.

A voluntary pupil transfer program was established in metropolitan Rochester in 1965, under which more than 500 city children, most of whom are black or Puerto Rican, attend schools in the suburbs of Brighton, Penfield, Pittsford, West Irondequoit, and Wheatland-Chili. On the other hand, the World of Inquiry School in Rochester city, itself an innovation funded originally by Title III, draws some 20 percent of its pupils from the suburbs. A campus school at the State College at Brockport, the Center for Innovation in Education, now enrolls children from the city, suburbs, and rural area in almost equal numbers, though originally all its children were from the college town of Brockport.

The philosophy of the Title III *Voluntary Open Enrollment* project is straightforward. If children are to function effectively in our pluralistic society, it holds, they need to be emancipated from the limiting confines of their environments, urban or suburban. All of the school districts which participate in the program believe that children should be provided with educational alternatives which allow them to have a variety of social and interpersonal experiences. Through this diversity, they can develop the ability to cope effectively with their constantly changing and increasingly complex social environments.

The *Open Enrollment* program has made strong efforts to gain the support of all its constituencies. Much work has been done with teachers and administrators. In addition, an Urban-Suburban Community Council has been formed, which draws membership from the various schools and communities in which the program operates.

Since it is a voluntary program, parents take the initiative for children's participation. Of the urban parents who have enrolled their children, 91 per cent want the program continued, and 73 per cent of them urge its expansion. Suburban support has increased substantially, to the point that 39 per cent of a sample of suburban parents indicated the program merited financial support from their own districts. The number of parents who felt this way when the project began was very small.

Uniting a Mountain

The Mountain School Project, Lookout Mountain, Georgia

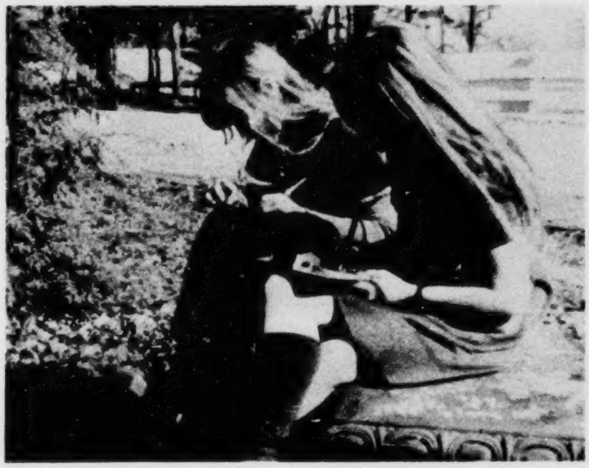
To unite a mountain by unifying its school system is the goal of the *Mountain School Project* in the Lookout Mountain area of southern Appalachia. Lookout Mountain is a sloping ridge of land which lies in three states—Georgia, Tennessee, and Alabama—and is further divided into a number of county units. There are now four public elementary schools on the mountain, but no secondary school, with the result that mountain students are dispersed into twelve public and private junior and senior high schools located off the mountain at distances of from ten to 30 miles. Because of this lack of focus at the secondary level, the instructional program in the elementary schools is not comprehensive in scope or sequence.

The Lookout Mountain area population is diverse, including southern mountain residents who still retain preindustrial skills, workers employed in industry and agriculture, professionals who have chosen to live on top of the mountain, and artists, writers, and craftsmen drawn to the mountain as a unique environment. The mountain includes farm land, depleted mining sites, suburban and rural homes, and vacation and recreation areas. The terrain is characterized by deep canyons and rock cliffs, and there is a varied plant and animal wild life.

Realizing the educational needs and rich resources of Lookout Mountain, a group of citizens began to explore ideas for an educational system appropriate to the region. At a large "town meeting" it was decided to seek help in the form of federal planning money. The result was a Title III project with the following emphases:

1. To restructure and develop a comprehensive educational program including innovative approaches to staff development, curriculum improvement, instructional program delivery, facility utilization, community involvement, pupil-centered programs, and interagency coordination and cooperation;
2. To find a means of setting up an administrative unit to cross both state and county lines;
3. To utilize the rich mountain environment, natural, cultural, historical, and human; and
4. To open lines of communication between the diverse human groups making up the population of the mountain.

A "Mountain School Working Conference" was held early in the project, and lay people, parents, educators from the mountain, representatives of the state and county departments of education and the Southern Association of Schools and Colleges discussed together the dream of a total educational program for the mountain. There was concern for a continuous education program, prekindergarten through adult, with parallel programs for children, teachers, and parents, all of them school-cen-



tered participants in a community-centered school. Planning continued in school faculties and parents' associations meetings, and a summer workshop involved teachers and administrators.

The problems involved in funding the program across state lines are still being solved, but in the two counties which are now actively involved in the project, one in Tennessee and one in Georgia, curriculum is being developed to meet the needs and expectations of the area's residents. Two major emphases have evolved: Affirmation of Human Differences and Development of Total Environmental Awareness. These involve a teaching staff of diverse academic backgrounds, individualized instruction, and utilization of community resources and natural resources of the region.

Easing the Transition

Area High School Prep Centers, Chicago, Illinois

Bridging the gap between elementary school and high school with a comprehensive innovative orientation program is the objective of the *Area High School Prep Centers* in Chicago, Illinois. Title III funding makes possible three full weeks of high-school-preparedness activities for the eighth-graders of 24 elementary schools which feed into three Chicago high schools, in a program which brings students, parents, and teachers together in classes and workshops.

The Centers are located in sites apart from either elementary or high schools, one in a college, another in a church building, the third in a community hall. Each three-week session at a Center involves one eighth-grade class from each of three feeder schools, together with the class teachers and five to ten parents, all of whom are brought to the Center by bus each day. Nonpublic school pupils who plan to attend the target high school are also included.

After their arrival at the Center, students are reorganized into three new classes, a procedure planned to initiate contact among feeder school pupils, teachers, and parents, and to facilitate the transition to a large and varied high school population. Curriculum is structured but sufficiently flexible to allow for creative input from all participants. Vocational, ecological, and consumer education extend the regular academic curriculum in English, mathematics, social studies, and science. Staff-developed miniunits may be used by an individual pupil, a small group, or an entire class, to study "Dollars and Sense," "The Teenager as Consumer," Teenagers Look at the World of Work," and "High School—the Today that leads to Tomorrow."

Orientation to the faculty and physical plant of the high school which the students will attend is an important part of the program. Counselors, faculty members, and students from the high school visit the Center for group guidance and for discussion of course offerings, sports, and activities.

Parents and community representatives participated in developing the original proposal for the *Prep Centers*, and parents are now direct participants in the Centers. In addition to attending classes and worskhops with their children, they are invited to specially planned Center activities which inform them of courses, extracurricular activities, and services available to their children in high school, and which give them opportunity to examine and discuss the personal and social problems which affect students' success in high school.

Community Planning for Education

Staff and Community Development Program for Planning a K-12 Educational Park, New York City

The Northeast Bronx Educational Park will serve as the focus of the community life of New York's Co-Op City, now nearing completion as one of the largest urban housing developments in the country. ESEA Title III Section 306 funds are supporting the planning and development of a K-12 educational program, with provision for coherent overall community participation in the implementation of that program.

The Education Park opened its first school in September, 1971, and now is a complex of three primary and two intermediate units, with the high school, which will contain all of the Park's central and specialized facilities for physical education, industrial arts, theatre, and communicataions, scheduled to open in September of 1973. The *Staff and Community Development Program* is incorporating into the curriculum the best of current methods and practices in use in the local school district (Community School District #11, Bronx), together with a continuous-progress, nongraded, deformalized, collaborative teaching approach and an application of the developmental psychology of Piaget and others, involving vertical age groupings and a developmental, nonprescriptive curriculum. There is special emphasis upon developing understanding of human diversity and cultural pluralism and implementing individualized instruction.

The project is responsible also for developing an educational organization which will tend to break down the usual separation between schools and the rest of the community. A community council was created even before the original project proposal was written and continues to meet monthly to help plan, implement, and evaluate the program and to serve as liaison between the schools and the community. In order to expand the number of occasions on which staff and community interact, the project has sponsored a series of conferences which discuss the responsibilities of teachers and principals in education decision-making, the role of parents' organizations, the challenges to be met by the schools and how they will do so, and how the *Education Park* will evaluate its program.

The project has conducted staff training through summer workshops with parents and community leaders. In a two-week demonstration summer school, the staff was given opportunity to try out new techniques and practices under the tutelage of consultants and teacher specialists in nongraded and open education techinques. Throughout the year, inservice staff programs are stressed to carry on the work of the summer, with the intent that teachers so trained will serve as a core group within each school, helping other teachers to move easily and successfully into their new schools and programs.

The Cities Cooperate

Cooperative Leadership foı Urban Education,
Nashville, Tennessee

Four urban school systems in Tennessee plan to share the results of separate approaches to an educational problem which all have in common, through an alliance known as *CLUE (Cooperative Leadership for Urban Education).* Under Title III funding, Chattanooga, Knoxville, Memphis, and Nashville are developing programs to deal with student apathy and student activism through increased involvement of students in their own learning processes. Each city is creating its own model, which will be shared with the other cities and can be transplanted to them.

Chattanooga chose to focus its attention on ways of stimulating student involvement in decision-making processes in grades ten through twelve. The model uses a student-faculty committee structure and employs a full-time student-faculty liaison person as an activities coordinator. A steering committee feeds problems to four standing committees which research them and make recommendations back to the steering committee. Recommendations are then presented to school administrators for action.

Knoxville also was interested in working at the secondary level and decided to involve students in the continuing development and design of an improved curriculum. The Knoxville model uses a student-faculty committee plan similar to Chattanooga's, but with standing committees set up by academic areas such as English and mathematics, with each committee meeting at least once a month. A written report of each meeting is made to all teachers and students to promote communication and bring about schoolwide participation. Central to the program are three student coordinators, one in each of the project schools, who, like their activities-coordinator counterparts in Chattanooga, work closely with students and faculty in initiating change.

In Memphis, it had been noted that young people who became disenchanted with school were often among the brightest in any given student population. Since Memphis had no special programs for the gifted at the elementary level, CLUE is concentrating its efforts in that city on the involvement of intellectually gifted students in challenging and stimulating learning experiences.

Interviewing techniques become important skills to be learned as CLUE students travel into the city on fact-finding missions.

Nashville's metropolitan school system was particularly interested in developing an innovative social studies program which would bring upper-elementary and junior high students into active contact with their community. The city itself is a textbook, with designated "impact areas" (government, industry, etc.) to be explored and researched by students. As in Memphis, students are involved in decision-making, with the *CLUE* teacher serving as a group facilitator and advisor. Hundreds of persons in the community have become involved with the program by serving as "satellite classroom" instructors. Students travel in small groups into the city, carrying notebooks, pencils, cameras, and tape recorders; and each trip is an in-depth experience preceded by weeks of planning and preparation.

Exchange of ideas between the four cities is facilitated by a paired-schools concept in which project schools in each component are paired with nonproject schools in each of the other three systems, and principals and lead teachers from a paired school visit and observe the companion school. Also, each city has its own interchange committee, which keeps the school system informed concerning activities in the other systems.

The transference of processes developed in a *CLUE* component to other systems is integral to the project's design, and by the beginning of the 1972-73 school year five such transplants had been made and four specific process models for student involvement were being used successfully in designated project centers throughout the state.

The Workshop Center For Open Education, New York City

A Support System for Open Classrooms

The current excitement over the open-classroom alternative to traditional education has only heightened awareness of the need for appropriate teacher education and support. In contrast to established training programs, marked by the terminal bachelor's or master's degree, what open education requires is a kind of teacher education that is not only continuous but is selected by the teacher herself to suit her own professional development. A timely response to this need is a new Title III-funded program, the *City College Advisory Service to Open Corridors Workshop Center for Open Education*, shortened by common usage to *Workshop Center for Open Education*.

From the opening day ceremonies on October 28, 1972, when over 500 persons braved a dreary, rain-soaked Saturday morning to fill the Great Hall of City College high on a hill in Harlem, to the present writing, the Workshop Center has had attendance figures (approaching the 2,000 mark) that confirm the vision and the hopes of this first federally funded program of teacher training and parent orientation for open education. On any weekday afternoon, beginning at one o'clock, participants and visitors make their way through the once-grimy halls of the old neo-Gothic building, now lit up with brilliantly colored murals of children's work culled from neighboring Open Corridor classrooms, and into three cavernous rooms which originally housed the City College physics laboratories. There, transformed by paint, polish, and imagination, new spaces beckon and invite use, in a color scheme of royal blue and mustard yellow with touches of orange and buff. For browsing and private conversation, a carpeted area has curtained windows, a sofa, shelves filled with books and vases with flowers, and walls covered with woven hangings, watercolors and mounted photographs. A darkroom is complete with equipment for simple photography work; there is an inkle loom for weaving; an attractively arranged collection is heaped high with take-home materials; two long library tables can be used for conferences or pushed away to make room for chairs for large-group meetings or a film showing, or for the choreography of students of movement; several low modern cabinets display musical instruments; and, finally, there is a section of familiar old-fashioned slate blackboard. In another room, reached through a narrow closet resurrected for glass-door storage of supplies, four of the original lab tables still stand, their gleaming maple tops now waxed and overflowing with regularly changing displays of materials—clay, fish tanks, cooking appliances and ingredients, terrariums, etc. The walls here are festooned with samples of work completed, with questions written large on cardboard as starters for new work, and with suggestions marking the way for a novice. Collages abound, mobiles swing from the ceiling lights, and along the walls a dozen bins are handily set out to hold a selection of small objects (from bottle caps to Cuisenaire rods) that serve as additional starting points, the bins flanking low tables for work with sand, with water, and with wood. It is a place brimming over with color, with variety, with movement suggested by the multitude of sizes and shapes, a place of learning.

Emphasis on physical appearance is a deliberate aspect of the project's total overall development and approach. From the date of receipt of the Title III grant award in August to official opening day, two full months were given over to planning, ordering of supplies, and plain hard work, to produce the setting described. By their time and effort invested in this stage, the staff, including the director and the office help, succeeded in converting bleak, institutional surroundings into a warm, human, inviting facility—a feat that clearly transmitted a message to all those who must start with the often sterile settings of our urban public schools. Rooms 3, 4, and 6 in Shepard Hall of City College now furnish a master lesson in how to change the seemingly unchangeable into the kind of environment that should form the physical base for open-classroom learning and teaching.

History

Although the *Workshop Center* is a brand-new resource for all teachers, administrators, paraprofessionals, and parents who are interested or involved in open education in the New York City area, its program and objectives grew directly from the activities of the City College Advisory Service to Open Corridors, founded and directed by Professor Lillian Weber. The Advisory Service was established in 1970 (with the help of Ford Foundation funds) to train advisors to the staffs of Open Corridor programs. These, in turn, had been set up in 1967, when Professor Weber, fresh from her one-and-a-half year study of state infant schools in England, pioneered in transplanting and adapting the best of English informal or open education practices to an urban public school in this country. The

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This article was written for Title III Quarterly by Ms. Ruth Dropkin, Managing Editor, Workshop Center for Open Education, *New York City.*

Saturday Math-Science Workshop at the Workshop Center for Open Classrooms getting ready to make comparisons of weights and volumes of dried food products.

pattern of her work in one school in the heart of Harlem is now being replicated in 12 schools in Manhattan. For more than 90 teachers, paraprofessionals, and parents who are voluntary participants in these new communities of classrooms, the Advisory Service provided, and continues to provide, on-site support, working alongside teachers in classrooms and meeting with them after school hours.

By the spring of 1972, it was evident that this single development in New York City public schools, even though it was based strictly on the voluntary enlistment of teachers, principals and parents, was galvanizing hundreds more to new effort for an alternative to traditional schooling. Well over 3,000 observers were recorded in Open Corridor schools during the 1970-72 school years. In addition to the teachers who had gotten underway in opening their classrooms with the help of advisors, there was now a growing number who were trying, without advisory support, to take first steps toward open education. Both groups, it became clear, would need continued help and reinforcement, as would parents, cooperating supervisors and paraprofessionals, and even custodians. For open education demands of its practitioners a profound rethinking not only of the craft of teaching but of the nature of children's learning. It demands as well the kind of active retraining that is provided for most effectively in the workshop format. Moreover, growth and development need to be sustained through the interaction of the experienced, the committed, and the informed with those reaching out to cross this new frontier in education. Thus, the twin histories of the Open Corridor program and of the Advisory Service, providing as they did a background of four years of study, observation, and experience, culminated in the creation of the *Workshop Center.*

Objectives

The *Workshop Center* sets forth, not the "terminal" goals usually announced by traditional agencies of teacher education, but rather those objectives that are more properly referred to as "process," "growth towards," or "increasing capability." The real-life situation of open education in New York City public schools made it all too clear that change does not occur in the course of one or two workshop activities. In fact, the history outlined above is full of examples of uncertain exploration or thinking about change, with small changes occurring perhaps in only one area for the first few months of working in an open situation. To meet the demands of open education, most teachers need at least a two-year period to grow in understanding and skill. Furthermore, whether they are experienced or beginning, teachers who work in an open way are looking for ways to continue their professional development.

Project objectives, then, are tailored to provide assistance in the main areas of need. These correspond closely with the main areas of the changes that spell out open education:

1. From whole-class organization to decentralized organization in which the teacher facilitates, responds to, and extends children's individual and small group experiences and use of materials.
2. From planning based on prescribed subject areas within specific time blocks to planning based on observation of children's interests and of their use of materials.
3. From recording for the purpose of comparing and assessing children's performance on tests made up of predetermined responses to the prescribed syllabus to a style of recording that helps a teacher to remember, reflect on, and become conscious of the meaning of a child's actions.
4. From institution—or system—support in which the teacher often works alone and isolated to the point where the teacher's own efforts lead to increased assistance or participation by other teachers and the administration.

These overall objectives are so adjusted to individual needs and levels that the *Workshop Center* in essence caters to participants at any and all steps of the continuum of change—teachers, principals, or paraprofessionals, student teachers hoping to begin, those who have begun with some or even full support, and those who choose to consolidate their learning. The *Workshop Center* offers opportunities to all these groups—and to parents (and even grandparents!)—to set foot in, to find their way, to grow and develop in the new world of open schooling.

Activities

The three-room facility described earlier is the setting for workshops, lectures, demonstrations, large and small group meetings, film showings and videotaping, library use, and dissemination. The *Workshop Center* publishing program has as its main feature the release of a quarterly journal, *Notes from the Workshop Center for Open Education*, a 36-page offset publication that deals with practical and theoretical problems in open education learning and teaching, classroom management, and curriculum materials. Each issue reports on experiences, inventions, and suggestions drawn from teachers and advisors working in open classrooms and from staff experience at the *Workshop Center*. Interviews, book reviews, bibliographies, and a calendar of *Workshop Center* activities appear regularly. As with all other *Workshop Center* offerings, dissemination products, which also include special curriculum bulletins, occasional papers, and position papers, are distributed free of charge to all who request them in writing.

Private and individual consultations make up a good part of unscheduled activities. Teachers and parents who want a chance to air their problems need only arrange an appointment with the appropriate staff person. It is a simple matter, also, for a teacher who has begun work on her own project to arrange for time and space to complete it. Finally, the *Workshop Center* is available for off-hours use by City College students and faculty as well as community people concerned with open education.

Each month, a new series of workshops and related activities is scheduled. Planning for these, which constitutes a good portion of the time assigned to one staff person in consultation with the others, is based on the staff's assessment of participant response. This response, in turn, is gauged not only by attendance figures but by meetings with individuals or groups of participants, observation, and staff recording. Consultants as well as staff members generally lead the scheduled sessions, though on occasion teachers or parents who wish to share their learning are invited to take over. Registration is limited to an attendance of 50 for each session, the number of places available. A few sessions are repeated to give people who missed out on earlier dates a chance to attend later on. A monthly calendar listing is distributed to participants and others on the project mailing list. Registration, which is required in advance, is conducted by phone or in person. *Workshop Center* hours are set for 1 to 8 p.m., Monday through Thursday, and on Saturday from 10 a.m. to 2 p.m. At any time, between 3:30 and 7 p.m., Monday through Thursday, any participant is welcome to work on individual projects. Fridays are reserved for staff meetings and seminars, special consultations, and Advisory Service conferences.

In many ways, the *Workshop Center for Open Education* marks a break-through in teacher education facilities. Not only the design but the day-to-day functioning of this Title III project bears the promise of providing the prototype for other centers now being contemplated for teachers in public school settings. Committed as it is to the alternative of open education, the *Workshop Center* reproduces and thereby illuminates those qualities that distinguish open from traditional practices in classroom learning, is informal yet structured, free though planned, accessible but also able to provide conditions for privacy. Above all, the program and its staff remain responsive to the people they serve, alert to participant requests and needs, and ready within the limits of budget and human energies to give aid, sustenance, and hope to those who cross the old shabby threshold of City College each week.

Consortium for Individualized Learning, Green Bay, Wisconsin

Cooperating for Individualization

In February, 1970, four widely separated school districts—Green Bay, Oshkosh, Neenah, and Madison—cooperatively initiated the *Wisconsin Consortium for Individualized Learning* project under a Title III, ESEA, grant. The thrust of the project was to support individualized learning at the secondary level, with major emphases upon curriculum modification and behavioral change in students and teachers.

To achieve this, the following goals were identified for the project:

1. The development and dissemination of curricular materials for teachers and students in the form of learning activity packets based upon behavioral objectives.
2. The development and dissemination of materials and data for student self-initiated learning.
3. Initiation of a staff development program to bring about behavioral change in teachers consistent with the needs of individualizing learning.
4. Development and initiation of a model for a central state-wide bank of teacher-oriented instructional materials.

At the outset of the project a liaison committee was established to plan and coordinate all activities of the *Consortium.* The committee consisted of a Title III consultant, the project director, and a representative from each of the four participating districts.

In the project's first year, 83 public and parochial teachers were selected to write learning activity packets (unipacs), based upon the objective approach to instruction. Participants were selected on the basis of proposals submitted and individual district needs.

To launch the program, two inservice programs were conducted. The basic objective of the first was to meet individual teacher needs relating to knowledge of and ability to write objectives in behavioral terms. The second was devoted to the actual construction of unipacs and was structured so that all participants received writing experience.

In the project's second and third years, participants were again selected on the basis of proposals submitted and of individual district needs. For those teachers new to the project, inservice training similar to that of the first year was provided. In addition, sessions were scheduled to discuss role change of students and teachers and concerns of implementing an individualized program such as grading, reporting student progress, keeping records, and scheduling students.

During the summer months of each year, following the inservice sessions, selected teachers were contracted for approximately fifteen days to develop the unipacs. Within each unipac the objectives are stated in behavioral terms which are observable and measurable. They specify the performance expected, the conditions under which it will be performed, and the degree of proficiency to which it must be performed. Learning activities are developed for each objective and provide for varying styles of learning. Related quest and in-depth activities are included. When appropriate, self-tests are designed for student self-evaluation to assist him in determining whether or not he has mastered each of the stated objectives. Posttests are written for final evaluation by the teacher.

The following is a detailed outline of the unipac format:

TEACHER SECTION (when appropriate)

1. Instructions to the teacher
2. Major concept(s)
3. Behavioral objectives
4. Instructions for evaluation
5. Answer section(s)

STUDENT SECTION

1. Pretest (when appropriate)
2. Instructions to the students
3. Major concept(s)
4. Subconcept(s) (when appropriate)
5. Behavioral objectives for each concept
6. Learning activities for each objective
7. Quest or in-depth (when appropriate)
8. Multi-dimensional references and resources (when appropriate)
9. Provisions for student feedback
10. Self-test (when appropriate)

POSTTEST

The unipacs provide the means for each student to progress at a rate in accordance with his ability, interests, needs, and motivational patterns. They become concise

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This article was written for the Title III Quarterly by Mr. Gerald C. Whitehouse, Director, Consortium for Individualized Learning, *Green Bay, Wisconsin.*

lesson plans for students, with provisions for student decision-making and involvement in the learning process.

In utilizing the unipacs, a pretest is normally taken by the learner prior to undertaking the learning activities for a given unipac or set of objectives. Each test question measures the attainment of a particular objective. The results provide the basis for making an assessment as to where the learner is in relationship to the stated objectives, and the appropriate learning activities are selected for the nonmastered objectives. In situations where the results clearly indicate complete mastery of the objectives, the learner is permitted to omit the learning activities and proceed to the next unipac.

The learning activities in each unipac offer as many varieties as are practical and resources permit. All students experience learning activities which are appropriate to them in the acquisition of the behavior specified in the behavioral objective. Each activity is keyed to a specific objective.

In many unipacs, depth and quest activities are suggested for those students who have a desire to go beyond the limits of the structured unipac.

Upon completion of the learning activities, each student has the opportunity for self-evaluation (self-test). It is designed to give the learner the feedback necessary to enable him to decide whether to move to the posttest and completion of the unipac or to return to the learning activities to master the stated objectives in the unipac. The self-tests assist the learner and the teacher in assessing progress toward behavioralized goals.

The student is given the responsibility of deciding when he has satisfactorily mastered all the objectives and is ready to take posttest. The posttest is similar to the self-test in structure but is administered by the teacher or a paraprofessional. If the learner demonstrates that he has achieved the minimum standards for each objective, he is directed to the next unipac. However, if he does not meet the minimum standards he is directed to appropriate learning activities related to the non-mastered objective(s).

With emphasis upon "learning," the student is actively involved in the learning process and has an opportunity to seek questions as well as answers. The learner develops skills which enable him to identify problems and to find appropriate resources for solving the problems. He becomes the creator of his own learning as he synthesizes the interpretation of his own activities.

The unipac method of instruction does not place all the responsibility for learning on the student. The teacher is an integral part of the learning process. He is constantly interacting with students—analyzing student progress — diagnosing learning deficiencies — directing the learning process—designing learning experience to meet individual needs—and evaluating attainment of the stated objectives.

To assist teachers in the development and implementation of an individualized program, a *Guidebook for Teacher Use in Individualizing Instruction Through Use of Unipacs* was produced. It includes the rationale for use of unipacs, an exploration of the unipac format, instructions on how to write and use a unipac, the roles of students, teachers, administrators, and the community, concerns of individualization through use of unipacs, evaluation forms, and bibliography.

During the three years of the project, 151 teachers participated in the project. Their efforts produced over 1,800 unipacs in the areas of art, business education, foreign languages, home economics, mathematics, science, industrial arts, music, social studies, and language arts. It is estimated that over 30,000 students in the four participating districts have received benefits from the unipacs produced.

In February, 1973, a state bank of unipacs consisting of materials developed by the *Consortium* was made available to all interested Wisconsin teachers by the Wisconsin Department of Public Instruction. Materials are for loan only, though unipacs may be copied. On making a request, a teacher receives a master list containing general information or specific information in a subject area. She is asked to indicate the unipacs she would like to receive and to return the list to the Title III office. Materials are sent for a loan period of one week. Users are alerted to the fact that their implementation requires the use of new techniques and skills and new classroom procedures, calling, for example, for much pupil involvement.

There are other indications of the program's success:

1. Emphasis within educational programs is placed on "learning" instead of "time."
2. Students are allowed to progress at a rate which is in accordance with their ability, interests, needs, and motivational patterns. For example, the lowest grade given to a particular geometry class of 204 students, by a team of teachers using unipacs, was a "C." However, it took some of the students more than one year to complete the course, while some students completed the course in less than one year and were channeled into the next course or other academic areas.
3. Surveys indicate that students using unipacs have a better attitude toward school.
4. Over 150 teachers who were not directly involved in the project are using unipacs written by *Consortium* participants.
5. Hundreds of letters have been received requesting materials produced through the *Consortium* project. Many outside school districts are utilizing the materials.
6. The *Wisconsin Consortium for Individualized Learning* has been selected as one of the outstanding Title III, ESEA projects in the State of Wisconsin for the 1972-73 school year.
7. Establishment of a state bank of unipacs which are available to potential users within the state of Wisconsin. All materials incorporated in the bank have been evaluated for quality.
8. Personnel within the project have served as resource persons and/or leaders in inservice programs throughout the State of Wisconsin and in several neighboring states.

Training Center for Open Space Schools, Washington, D.C.

Training Teachers for Open Education

All new public elementary school construction in the District of Columbia in the years 1971-1975 will include open-space facilities. Aware of the fact that "open space" is a physical concept, not an educational program, the District schools saw the need for training teachers to function effectively in the open classrooms. The *Training Center for Open Space Schools* was created under a Title III grant in 1971 and has since passed through five "cycles" of development, in each of which it provided instruction for the staff of a new or remodeled elementary school which was instituting open classrooms, while at the same time developing its own role as a model training center.

With "open space" defined as a large area with minimum obstruction to the flow of people or materials and a minimum of visual isolation, containing flexible, easily moved furnishings, with noise controlled by carpeting and sound-absorbing ceiling materials, the *Open Space Center* in its first operational cycle proposed a series of behavioral goals for its training activities for teachers who would work in such facilities. The strength of the training model and the practical value of the training offered were seen as depending on the successful implementation of the following:

- Planning the use of open space with flexible interiors and assessing the effect of open space on teachers and students.
- Designing and adapting curricula for use in open-space shools.
- Designing and adapting administrative procedures for use in open-space schools.
- Creating and integrating new duties and responsibilities for all school personnel (including paraprofessionals and volunteers) and for parents and students.
- Designing and implementing techniques for scheduling students, teachers, and hours of instruction.
- Participating in joint planning activities and practical projects to reduce the credibility gap between teachers, parents, citizens, and students.
- Designing new facilities maintenance techniques as a means of providing teachers, parents, students, and citizens with some practical skills and understanding of building use.
- Coping with role demands and creating role changes for users of an open-space facility.
- Adjusting to notions of accountability for student progress by teachers, parents, citizens, and students in an open-space facility.
- Developing an understanding of open-space concept and facilities.
- Developing an information and evaluation (diagnostic) system which codes available materials to behavioral objectives and which permits measurement of the student's ability level.

The Center's first training program was conducted at an elementary school in which an open-space addition housing all third-grade pupils had just been opened. Four third-grade teachers, three special resource teachers, one supervisor, and one administrator created teaching teams and developed a master schedule for each team which enabled teachers to schedule resources, supplies, equipment, and activities for their most effective use and to fully utilize the talents of individual teachers. This new function of the open-space team increased the interdependence and cooperation essential to open space operation.

In its second cycle of operation, the Center refined the prototype developed during Cycle I, with special emphasis on skill development, diagnosis and prescription, behavior modification, individualization, and team effectiveness. Working this time with 27 teachers from four elementary schools, the training began with preparation for physically setting up an open space facility, with participants and consultants arranging miniature furniture on a floor plan and discussing innovative ways of utilizing available furniture. In this five-week summer session, the first week was devoted to an orientation to the concept of open space, organization of the facility and teams, and a two-day workshop in the use of reading and language programs.

Cycle III was initiated in January of 1972, in the first completely open-space facility in the District of Columbia Public Schools. Here the staff to be trained had volunteered to teach in the new school and had been selected by a special panel; it consisted of 17 classroom teachers, and a full-time librarian, a full-time science teacher, one counselor, and four part-time teachers in reading, art, French, and music. Curriculum created and adopted during this session was organized into learning centers in reading, language, art, science, and mathematics, and the multilevel school building was also divided into learning centers, with the first and second grades on one level, the

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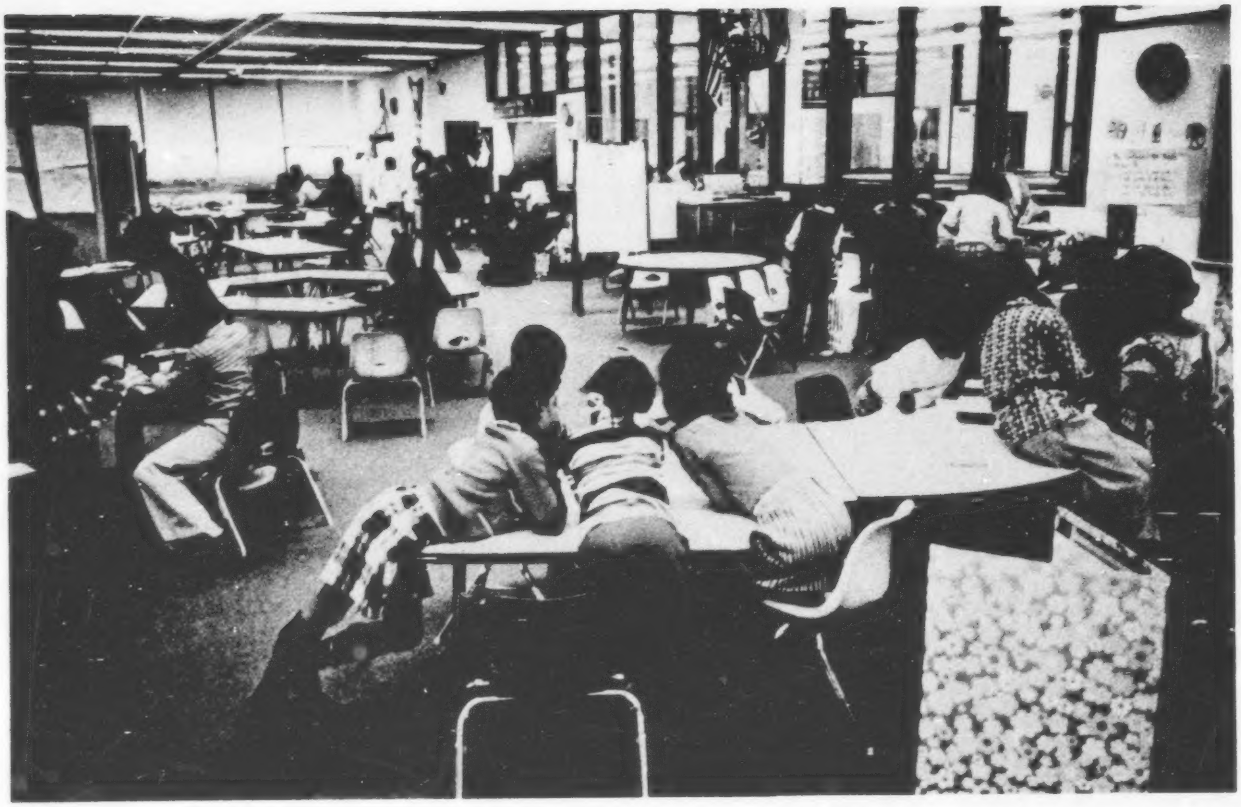
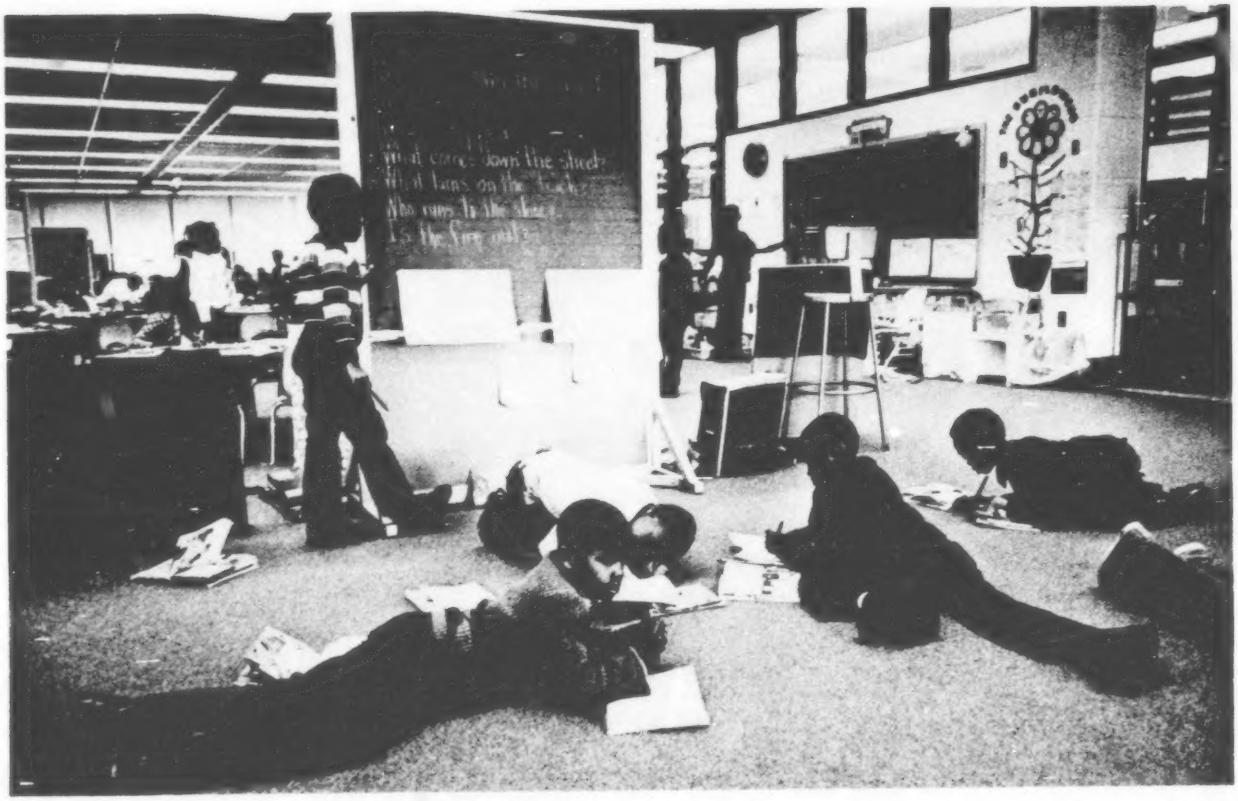
This article was written for the Title III Quarterly by Mrs. Marion M. Simons, Supervising Director, Training Center for Open Space Schools, *Washington, D.C.*




What comes down the street?

third and fourth on another, and fifth and sixth grades on a third level.

During this training phase, the community was involved in a number of ways. Parents were welcomed to visit the school throughout the day, community leaders were invited to a get-acquainted hour with the staff and a tour of the facility, an evening openhouse was attended by 500 parents and children, university officials visited to discuss placement of student volunteers at the school, and an exhibit of new materials and equipment was open to teachers from throughout the city.

After the students who would attend the new school were transferred there from three other elementary schools in accordance with established boundary guidelines, teacher training continued in the form of released time for team planning, curriculum development, and evaluation of the training program, on a one-day-a-week regularly scheduled basis. These weekly seminars were considered essential to the continuing development of the staff.

In the fourth cycle of the Center's program, in the summer of 1972, the staffs of two more elementary schools which would operate as open-space schools in the fall were organized into instructional teams in reading, mathematics, science, and art. Although the program was conducted during the summer, children were scheduled into the centers as part of the training activity. Teachers and administrators were asked to concentrate on six areas: diagnosing and prescribing, developing curriculum, scheduling, observing, reinforcing positive behaviors, and developing a team process. Teacher trainees received college credits for their participation in this session.

Cycle V was initiated at a new elementary school addition in October of 1972, and training was conducted onsite with one week of full-time intensive training, followed by one-day seminars for each of the next six weeks. Substitutes were hired for teachers during these times. As part of the training, teachers organized themselves into two teams, one primary and one intermediate. They selected team leaders, and students were assigned to the teams, with individual teachers volunteering to work in specific subject areas such as reading, mathematics, or science. An important part of this training program was the "phasing in" process, by which teachers phased into the open classroom activity by levels, two or more teachers and their pupils each week, with the higher grades phasing in first.

From its activities to date, the *Open Space Center* has reached the conclusion that a real situation is the best training device—setting up and operating an open-space education program with students seems to lead to sound educational practice after the training is over. Also, teacher trainers who have experience in setting up and operating a real program are the most acceptable to trainees. Finally, and not surprisingly, it is clear that administrative support from the school principal is absolutely essential to the successful operation of even one or a few open classrooms in any school.

Ways and Means

A Model for Inservice Education

Disseminating the Free Learning Environment,
Pittsburgh, Pennsylvania

The adoption of new approaches to education creates the problem of inservice training for teachers and administrative staff. In Pittsburgh, Pennsylvania, a model for open education called "The Free Learning Environment Program" (FRELEA), which embodies the concepts of active, developmental, and pleasurable learning by involvement and interaction, is available to the public schools. To assist teachers and administrators in making the change to informal *FRELEA teaching,* a three-phase inservice program has been designed under a Title III grant.

In the first phase, orientation, participants are encouraged to develop an accepting attitude toward the program. Implementation, the second phase, develops the teacher's skills in the *FRELEA* techniques and curriculum; and the final phase, internalization, encourages the teacher to initiate behavior because she values it.

The project utilizes the services of a peer teacher who has had success as a *FRELEA* teacher. She works with supervisors and workshop staff in preparing workshop sessions, and she also works in classrooms at the request of teachers. She may set up a learning center, tutor, work with individual students, confer with teachers. In all situations, she models good *FRELEA* teaching and provides between-workshop support for teachers who are trying new ideas and techniques.

A volunteer program is a strong component of the project. More than 100 parents have been trained in *FRELEA* procedures and have become important resources to the teachers. Often they bring special skills and materials to enrich the program, but most importantly, they constitute an informed and articulate lobby for dissemination of the program's objectives.

Teachers new to the *FRELEA* program receive a week of orientation in the summer or, alternatively, attend a nine-week credit course after school hours. Staff development then continues in workshops offered one day a month throughout the school year, with teachers released from their regular duties by the use of substitutes. The inservice design takes approximately three years to complete and utilizes a teacher training center with a workshop staff which includes a multimedia specialist, a child development specialist, a research associate, and a materials designer.

Although the *FRELEA* program is stated in three phases, it is intended to be sensitive to the individual teacher's needs, and growth will not necessarily proceed in the orderly steps which have been listed. There is much spiraling among the phases and objectives, and teachers may spend as much or as little time as necessary in any phase of their development.

A Systems Approach

Center for In-Service Education, Oak Ridge, Tennessee

Tennessee's *Center for In-Service Education* is designed to develop a systematic way to help teachers meet the complex demands of modern educational materials and techniques. Twenty-three school systems affiliated with the Title III-funded *Center* receive mobile assistance programs and services; workshop, institute, and conference services; information and materials programs and services; and evaluation programs and services. The *Center,* housed in a former military barracks in Oak Ridge, is central headquarters for program development and dissemination.

The operational objectives of the *Center* are to implement and demonstrate a comprehensive inservice model, to provide coordinated planning of inservice education for participating school systems, to directly assist regional instructional personnel in implementing changes in the classroom, to provide a continuing series of workshops in areas of critical need, to design instructional programs aimed at improving teacher and pupil behavior, to provide information services for staff of participating schools, to initiate comprehensive and continuous evaluation of the inservice programs of participating schools, and to refine and adapt the inservice model for general application in the state of Tennessee.

In a "hands-on" approach to staff development and teacher retraining, the project has developed a technique for using the mountain dulcimer as a motivational tool in reading and language arts programs, created simulation gaming procedures which reflect the complexities of real-world problems, encouraged the use of constructions developed by teachers and students, and experimented with readily available and inexpensive new media for art and related programs.

Each phase of the *In-Service* model's implementation is adjusted to the specific conditions or status of each participating school system. After the delivery of more than 500 demonstrations of the model and the return of extensive feedback from participants at all levels in the educational process, 60 per cent of the participating schools have adopted the model as a guide to continued improvement of their inservice activities, and an additional 28 per cent has adopted one or more of the model's components.

Steps Toward Individualization

Institutionalizing Innovations in Oregon Small Schools, Salem, Oregon

A Title III project designed to help teachers and administrators in small school districts to individualize their instructional programs, the *Oregon Small Schools Program* serves high schools of 350 students or less, and the elementary schools which feed into them, on a voluntary membership basis.

Created originally to offer the personnel of small schools strategies, curriculum materials, and organizational patterns for implementing individualized learning, the project found that many of the components of individualizing which had been stressed by the program were not being implemented by the member schools to the degree anticipated. It was believed that it would be helpful to offer a well defined and described model program so that schools could measure their progress against the model.

A 15-member project policy committee approved a plan called "Steps Toward Greater Individualizing," drafted by the Oregon State Department of Education, which moves from statewide setting of priorities, definition of individualization, and setting of measurable goals, to statewide development of assessment tools and implementation of statewide assessment; then to major activities such as training sessions, administrators' conferences, and direct consultative help to local districts; and finally, to anticipated statewide evaluation of the outcomes of the program.

The *Small Schools Program* adopts the philosophy that there is no single standardized approach to individualizing instruction, and that a school must take many factors into consideration in deciding what best meets the needs of its students. The program stresses that teachers must be allowed flexibility in adopting and implementing the type of individualization which is compatible with their backgrounds, expertise, and interest; but it is also stressed that school administrations should exercise initiative to gain total staff support and commitment and to establish short- and long-range priorities for curriculum change and staff utilization. Piecemeal individualization frequently causes problems for both students and staff.

Under the *Small Schools Program,* some Oregon school districts have gained local school board commitment to totally individualizing the schools within five years, others have implemented or improved individualized programs in certain subjects or at certain grade levels, and some districts have set up pilot ungraded elementay schools. By providing comprehensive services, the *Small Schools Project* facilitates the changes in attitude on the part of teachers and administrators which ultimately are necessary to successful individualization.

Reflections of a State Coordinator

By Dr. Roger Richards, Connecticut State Department of Education

Pervasive rigidities persist in education even though change has made some inroads. For example, the length of the school year has been the same for the past 50 years. Similarly, with few exceptions, the length of courses of study and the duration of classroom periods are quite uniform the country over. Despite some promising examples of developmental and nongraded grouping, chronological age and grade levels are still the order of the day. The customary roles of teacher and pupil have gone largely unexamined. And, granted a few innovations here and there, the interactions between school administrators and teachers are rooted in traditionally stratified management-labor concepts. Finally, while we educators continue to espouse the needs of the individual learner, we provide really very few options in the learning process, considering the diversity of our clientele.

It's not that we are unaware that change in these areas is needed. Perhaps our major shortcoming has been and continues to be our limited efforts at solution. Leadership is needed at all levels of education, but state leadership may be the essential catalyst. What must a state department of education do to encourage institutional reform? It seems to me that there are two aspects in answer to this question. First, a state department of education must adopt and internalize certain convictions. Second, it must engage in certain related actions.

To encourage institutional reform, a state department of education should exhibit the following convictions:

1. A resolve that systemic changes in local education are needed. In reaching this resolve, we must abandon our usual preoccupation with piecemeal, isolated modifications.
2. A resistance to "fad psychology." We should neither over-respond to current shibboleths nor passively await the latest research findings. As professionals, we have already defined the core problems and we should concentrate on known but infrequently applied approaches.
3. Acceptance of the reality that promoting real change is less comfortable and popular than supporting the status quo. State educational agencies must be willing to take stands and to advocate positions. Having done so, they must have the confidence and fortitude necessary to withstand criticism and to be a party to controversy.

To encourage institutional reform, a state department of education should take the following actions:

1. Review statutory directives and restrictions in the light of current trends and needs.
2. Where consistent with the educational interests of the state, build flexibility into those education statutes and regulations which directly affect local education. Sometimes local schools are discouraged from change by the very statutes we implement, such as the legal definition of the school day and year, diploma requirements, and teacher certification provisions.
3. Foster innovation of a systemic nature at the local level. Beyond the legislative initiatives suggested, a state educational agency must interact with local education agencies in other crucial ways, including consultation, persuasion, financial aid, and supportive follow-up. Title III experience with innovation indicates that all of these ingredients are essential.
4. Evaluate changes thoroughly and objectively. In concert with local school systems, a state department of education must take an active part in the design and execution of sound evaluation of new ventures. Only by examining results can it give sound leadership in proposing proven alternatives.
5. Disseminate promising practices. Once a significant institutional modification has been initiated and proven at the local level, it is a primary obligation of the state education agency to spread the good word. Effective dissemination must go beyond publication and conferences and provide on-site experiences of adequate duration and depth.

Title III's Contribution

Over the past six years, most state departments of education have been greatly strengthened in their innovative efforts through the thrust of Title III of the Elementary and Secondary Education Act. This federal aid program has been the vehicle to build the convictions and to facilitate the actions essential to institutional reform.

Perhaps a little specific state history will provide tangible examples. In Connecticut, the first years of state department Title III effort were admittedly directed at obvious, and sometimes pedestrian, project activities. We had our share of curriculum materials projects, audio-visual services, after-hours teacher training, and multi-district educational service centers. Perhaps we took too literally the title, "Supplementary Centers and Services."

Three years ago, we began to shift our emphasis in state directions for Title III. We restated the thrusts desirable in potential Title III projects in order to focus more on the relationships and structures inherent in the educational system. Of the six educational concerns which we established for Title III attention, the following are illustrative:

1. Revitalizing the educational process (individualization of learning, creative approaches to guidance and special education, stimulation of pupil potential and self-direction);
2. Restructuring institutional arrangements and practices (teacher and administrator roles, age levels and grouping of pupils, learning space and time, options);
3. Educating in ways of making the societal system work better (the rights and responsibilities of individuals and society, processes of reform, participatory democracy);

Increasingly, we have encouraged and funded projects which address themselves to these concerns. For example, an urban school system has engaged its community in rethinking the total educational program, and one result of this self-examination has been a new approach to secondary education. The alternative high school which has emerged provides more personalized and diverse learning experiences, but it also requires a different kind of teacher, and some of these teachers do not have certifiable credentials. With encouragement from the state department of education, the Connecticut General Assembly passed legislation which waives certain certification requirements in innovative programs, thus enabling this alternative school and others like it to engage appropriate staff.

Another Title III project has created a unique consortium of private schools committed to serving disadvantaged pupils in two urban public school systems. A combination of on-campus summer study and regular-year follow-up in the public schools is provided for 800 pupils. Particular state department of education supportive action has taken the form of using both Title III and Title I grant funds and securing passage of a specific state legislative act to provide additional and dependable financial support.

To bring about significant change in institutional arrangements and functions is perhaps the most challenging and difficult task to be faced in education in this decade. Title III projects such as those described in this publication are the major movements currently under way in the direction of such change.

ESEA Title III Projects

ALABAMA

Educational Planning for an Instructional Complex (EPIC), Dr. Roland Terrell, Post Office Drawer 10007, Birmingham, Alabama 35202

The Four R's A Strategy for Self Directed Learning, Dr. Lanny Gamble, Post Office Box 887, Cullman, Alabama 35202

Solution to Educational Problems, Mr. Don Morton, Room 109, Courthouse, Gadsden, Alabama 35901

Talents Unlimited, Dr. Carol Schlichter, Post Office Box 1327, Mobile, Alabama 36601

PEGASUS: Personalized Educational Growth and Achievement Selective Utilization of Staff, Dr. Marie Sinclair, 1100 21st Street, East Northington Campus, Tuscaloosa, Alabama 35401

ARKANSAS

Schools in The Middle, The Development and Implementation of a Model Middle School Curriculum, Mr. E. S. Jennings, Stuttgart School District, Post Office Box 928, Stuttgart, Arkansas 72160

Parent Education Research Center, Mr. Joe Mathias, Rogers School District, 220 South 5th Street, Rogers, Arkansas 72756

Planning, Programming, Budgeting System In Practice—Language Arts, Mr. John McCuin, Batesville School District, 507 Seventh Street, Batesville, Arkansas 72501

Project VAN—Vocational Action Network, Sharing Vocational Education Services Among Four Small School Districts, Mr. Robert C. Ehren, Paris School District, Paris, Arkansas 72855

CALIFORNIA

Innovative Solution to Drug Misuse, Dr. Marvin Bensley, Coronado Unified School District, 706 Sixth Street, Coronado, California 92118

Cross-Age Teaching, Mr. David Sherertz, Ontario-Montclair School District, P.O. Box 313, Ontario, California 91761

Packaged Shelf-Instruction Programs, Mrs. Aryls Loew, 2501 Cypress Avenue, Eureka, California 95501

California Teacher Development In Systems of Individualized Instruction, Mr. Clyde Voorhees, Freemont United School District, 40775 Fremont Boulevard, Fremont, California 94538

Language Development Through Animal Utilization, Mr. Jerry Lamb, San Diego Unified School District, 4100 Normal Street, San Diego, California 92130

Educational Goals and Objectives, Dr. B. Keith Rose, Northern California Development Center, California State University, Chico, Chico, California 95926

Planning Solutions to Urban Educational Problems, Mr. Leon Washington, Oakland Unified School District, 1025 Second Avenue, Oakland, California 94606

Environmental Approach to Investigations and Inquiry in Science, Mr. Leon Hunter, Barstow Unified School District, 551 South H Street, Barstow, California 92311

Project STRIVE, Mr. Anthony Lanfri, Santa Clara Unified School District, P.O. Box 397, Santa Clara, California 95052

Environment to Encourage Creativity in Learning, Mr. Ivy Beaubeouf, Cajon Valley Union School District, P.O. Box 1129, El Cajon, California 92022

Project Breakthrough, Mr. Lanny Berry, Tamalpais Union High School District, Larkspur, California 94939

Supplementary Education for Indians in Rural and Reservation Areas, Mr. Daniel Bomberry, P.O. Box 1648, Bishop, California 93514

COLORADO

Development of a Conceptual Model of an Open Living School, Mr. Franklin Wood, 809 Quail Street, Lakewood, Colorado 80215

Project Systems, Mr. Jack Knight, Thornton Elementary, 900 Eppinger Boulevard, Denver, Colorado 80221

Implementation and Evaluation of Concept 6 Year-Round School Plan, Mr. Lewis Reimer, Russell Junior High School, 3825 East Montebello Drive, Colorado Springs, Colorado 80907

K-12 Year-Round School Feasibility Study (45/15 Plan), Mr. Richard P. Koeppe, Cherry Creek School District 5, 4700 South Yosemite Street, Engelwood, Colorado 80110

Variable College Scheduling, Mr. Norbert Schuerman, Arapahoe High School, 2201 Dry Creek Road, Littleton, Colorado 80121

Individualized Instruction, Mr. Orlan Cox, Golden High School, 701 West 24th, Golden, Colorado

CONNECTICUT

S.P.H.E.R.E., Mr. David Kern, 49 Vine Street, Hartford, Connecticut 06112

Organization of Community and School Staff for Restructuring the School System, Mr Fred Rossomando, 200 Orange Street, New Haven, Connecticut 06510

Creativity in the Classroom, Miss Joan Avitabile, Strong School, 69 Grand Avenue, New Haven, Connecticut 06513

Three—R, Mr. George Bondra, Cooperative Services Center, East Granby, Connecticut 06026

School Within a School, Mr. Vincent Loffredo, Middletown High School, 251 Court Street, Middletown, Connecticut 06457

A Model Program, Mr. Robert Hale, Branford Intermediate School, Branford, Connecticut 06405

S.H.I.P., Mrs. Louise Wickware, Thompson Memorial School, North Grosvendale, Connecticut 06255

Alternate Center for Education, Mr. Richard Woodeard, University Hall, University of Hartford, 200 Bloomfield Avenue, West Hartford, Connecticut 06119

Education Center for the Arts, Mr. Peter Young, A.C.E.S., Village Street School, Village Street, North Haven, Connecticut 06473

Developmental Resource Center, Mrs. Gwynette Caruthers, Board of Education, 29 Main Street, Cheshire, Connecticut 06410

DISTRICT OF COLUMBIA

Training Center for Open Space Schools, Mrs. Marion M. Simons, 415 - 12th Street, N.W., Washington, D.C. 20004

FLORIDA

Cooperatively Involved Resources for Children in Low-Income Environments, Mrs. Mary Virginia Fearnside, Woodland Day Care Center, 1900 S.E. 4th Street, Gainesville, Florida 32601

Brevard Inservice Teaching Center, Dr. Vern Roushell, 705 Avocado Avenue, Cocoa, Florida 32922

Individually Prescribed Instructional Support Program, Mr. Bill Burch, 6221 N.W. 29th Avenue, Miami, Florida 33147

School Volunteer Program, Dr. Audrey Jackson, 1410 N.E. Second Avenue, Miami, Florida 33132

Pupil Personnel Services Demonstration Project, Dr. Ralph Bailey, All Childrens Hospital, 801 Sixth Street, South, St. Petersburg, Florida

Planning for a Pre-Technical Curriculum, Mr. Bill Baker, 1450 Flagler Avenue, Jacksonville, Florida 32207

GEORGIA

Mountain School Project, Mrs. Ellen Marie Moore, 1306 Lula Lake Road, Lookout Mountain, Georgia 37350

Project Success Environment, Mr. Marion Thompson, Atlanta Public Schools, Suite 201 - 210 Pryor Street, Atlanta, Georgia 30303

ILLINOIS

Education by Choice, Dr. Brandy Crocker, 1400 Maine Street, Quincy, Illinois 62301

SIMU, Dr. Joseph Hannon, 228 North LaSalle Street, Chicago, Illinois 60601

Demonstration of a Total School District (10,000 pupils, K-12) Operating Under a 45-15 All-Year Schedule, Mr. James Gove, Parkview School, Dalhart Avenue, Lockport, Illinois 60441

A Holistic Milieu Approach to High Risk Students, Mr. Richard James, 1200 South 9th Street, Mattoon, Illinois 61938

Model School, Mr. Thomas Dahlfors, 4 South Gifford Street, Elgin, Illinois 60120

Individualized Instruction Technique for Teachers, Mrs. Margaret Nienstedt, 875 Canterbury Drive, Crystal Lake, Illinois 60014

Area High School Prep Centers, Ms. Virginia Giles, 228 North LaSalle Street, Chicago, Illinois 60601

INDIANA

Insight Unlimited, Mr. Fred Glancy, Jr., Delaware Community Schools, 3821 Beechwood Avenue, Muncie, Indiana 47304

Behavior Management Project, Dr. Edward McDonald, School Town of Highland, 9145 Kennedy Avenue, Highland, Indiana 46322

Performance as a Basis for Credit, Mr. Kenneth Springer, East Allen County Schools, 14600 Amstutz Road, Grabill, Indiana 46741

Independent Study Within the Framework of a Traditional Schedule, Mr. R. Dale Jackson, Plainfield Community School Corporation, 709 Stafford Road, Plainfield, Indiana 46168

Individualized Elementary Education, Mr. Robert L. Krall, Greater Clark County Schools, 2710 Highway 62, Jeffersonville, Indiana 47130

Project Launching Pad, Ms. Irie Horrall, North Gibson School Corporation, Princeton High School, Princeton, Indiana 47670

Mobile Classrooms, Dr. Carrie Dawson, Gary Community School Corporation, 620 East 10th Place, Gary, Indiana 46402

Parent Counseling for Exceptional Children, Mr. Walter Rogers, Garnett Achievement Center, 2131 Jackson Street, Gary, Indiana 46402

Pupil Accounting System, Dr. Donald E. Sell, Fort Wayne Community Schools, 1230 South Clinton Street, Fort Wayne, Indiana 46802

Management by Objectives, Ms. Julie Bauer, East Allen County Schools, 1240 U.S. 30 East, New Haven, Indiana 46774

Project to Develop Efficient Patterns of Learning Management, Mr. Harlan Stuckwisch, Madison Community Schools, P.O. Box 445, Madison, Indiana 47250

IOWA

Satellite Library Media Centers (Extending Library Services through Para-Professionals), Miss Marie Haley, Sioux City Community Schools, 1221 Pierce Street, Sioux City, Iowa 51105

Cooperative Network of In-Service Resources, Mrs. Mary Travillian, Marshall-Poweshiek Joint County Schools, 9 Westwood Drive, Marshalltown, Iowa 50158

A Multi-School Cooperative Evaluation Project Among Small, Rural Schools, Mr. Irving Larson, Buffalo Center Community Schools, Buffalo Center, Iowa 50424

Individualizing a Trimester Core Program, Mr. Gene Fokken, Ayrshire Consolidated Schools, Box 264, Ayrshire, Iowa 50515

KENTUCKY

Project RISE: Regional Innovations and Services for Education, Miss Juanita Jones, P.O. Box 1137, 10th and Clark Streets, Paducah, Kentucky 42001

Comprehensive Curriculum and Staff Development, Mr. Jack Neel, Suite 427, College of Education, Western Kentucky University, Bowling Green, Kentucky 42101

Re-Education for Emotionally Disturbed Children, Mr. Don Alwes, 8711 LaGrange Road, Louisville, Kentucky 40222

Learning Center for Diagnostic Instruction, Mr. Edward Ball, 80002 Alexandria Pike, Alexandria, Kentucky 41001

Individualized Instruction Project, Dr. Sam Sears, 400 LaFayette Parkway, Lexington, Kentucky 40503

PEECE: Project for Environmental and Early Childhood Education, Mr. George A. Cordell, Tradewind Center, Somerset, Kentucky 42501

Curriculum and Staff Development and Supplementary Educational Services, Mr. Fowler Jeffries, 601 Begley Building, Eastern Kentucky University, Richmond, Kentucky 40475

Educational Management Research Information Systems, Mr. Edwin Jones, 925 Winchester Avenue, Ashland, Kentucky 41101

LOUISIANA

Communications Skills Project, Southwest Educational Development Laboratory, 5880 Florida Blvd., Baton Rouge, Louisiana 70806

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ABSTRACT

Purchasing is a practical science and one of the most highly specialized activities of the school administration. Simply stated, it is the process of having the right material or service from the right source, in the right quantity, at the right place, at the right time, and at the right price. The purchasing agent is faced with a formidable task in seeking to satisfy the criteria of (1) the right quality and quantity and (2) purchase at the lowest possible cost. This handbook has been prepared primarily for the guidance of the administrator responsible for purchase and supply. Detailed procedures that have proven their effectiveness in many school systems are suggested. The basic principles remain relatively constant, whether the school district is large or small; or whether purchasing is done by a full-time purchasing agent, a business administrator, a clerk of the board, a principal, or a superintendent of schools. An attempt is made to present information essential to the proper operation of a school purchasing office in the State of New York. (Author)

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PURCHASING

School Business Management
Handbook Number 5

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FOREWORD

In 1953, the Bureau of Field Financial Services (now the Division of Educational Management Services) undertook the development of a series of handbooks designed to reflect current best practices in the major areas of school business administration. Under the leadership of Maurice G. Osborne, Bureau Chief, and Dr. Robert L. Lorette, Handbook Project Coordinator, approximately three hundred school people contributed to the preparation of nine school business management handbooks first published in 1954 and 1955.

The success of the handbook project has been evidenced by the favorable responses from many school districts in New York State, as well as the fact that requests have been received from every state in the Union, from many colleges and universities, and from some foreign countries.

With the passing of time, it became evident that new material and changes should be incorporated in the handbooks. Thus, these changes were made and the following handbooks were published in revised editions:

Handbook No. 2 - Insurance
Handbook No. 3 - Budget
Handbook No. 5 - Purchases and Stores
Handbook No. 6 - Transportation

Insurance is now being revised in preparation for a third edition to be published in 1974. The remaining five handbooks, entitled Responsibility, Accounting and Reporting, Operation and Maintenance, School Lunch, and Personnel, have never been republished and are now out of print. While the Department hopes to revise all five at some date in the future, no specific plans exist at the present time.

The revised edition of No. 5, retitled Purchasing, has now again been brought up to date and is being published in a third edition. Appreciation is expressed to Mr. Robert A. Clemens, Purchasing Agent for the Yonkers City Schools, who assumed responsibility for drafting the second revision as a project of the Continuing Purchasing Committee, of which he was a member. Responsibility for editing the material in the Division of Educational Management Services was assigned to Dr. Gray N. Taylor, Associate Supervisor. General coordination of the project was provided by Arthur F. Jones, Supervisor of School Business Management in the Division.

Stanley L. Raub
Associate Commissioner for
Educational Finance
and Management Services

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INTRODUCTION

Purchasing is a practical science and is one of the most highly specialized activities of the administration. Simply stated, it is the process of having the right material or service from the right source in the right quantity at the right place at the right time at the right price. The purchasing agent is faced with a formidable task in seeking to satisfy the criteria of (1) the right quality and quantity, and (2) the purchase at the lowest possible cost.

Purchasing is referred to above as a "process." It is truly that, for it is considerably more than merely buying something. In addition to the discrete act of purchasing, the process embraces the various responsibilities involved in providing for the material needs and services of the school: receiving, storing, inventorying, and distributing. It seeks to obtain maximum value from each educational dollar provided for equipment, supplies, and contracted services.

Ethical conduct in managing the district's purchasing is an absolute essential. Each school district should adopt and strictly enforce a code of ethics to govern practices in school purchasing. Roe states this unequivocally:

> "The purchasing function is considered one of the most touchy jobs in public service. When it is performed fairly, judiciously, and with good management techniques, few people outside the purchasing department concern themselves with it. Let any questionable practices come to light, however, and the public spotlight focuses with ruthless intensity upon the total organization. Mismanagement in purchasing can throw an entire organization into turmoil and disrepute."[1]

The school purchasing process is regulated by state law, court decisions, and local school board policy. Competitive bidding legislation does add to the purchasing agent's routine responsibilities, but it is a judicious protective safeguard. These bidding restrictions need not "fence in" the purchasing official; rather, local policies and routine can be structured to allow flexibility and the exercise of professional judgment in procurement while at the same time allowing observance of both the letter and spirit of the statutes and protection of the public interests. It cannot be too strongly stated that the board of education must perform the purchasing function in the manner the law prescribes; there is no alternative.

---

[1] W.H. Roe, School Business Management (New York: McGraw-Hill Book Company, 1961), p. 126.

As in other areas of school operation, carefully formulated and clearly stated policies and regulations for the conduct of purchasing must be formulated and adopted by the board. These guides will be a clear-cut translation of laws into action and will establish the purchasing posture of the district. Compiling such a manual and putting it in writing is intrinsically a valuable project, for ambiguities and points of issue will be clarified; discrepancies and shortcomings in current policy in action will be revealed.

The official charged with purchasing responsibility should have a high place in the organizational structure and relationship to other line and staff personnel. Purchasing must be an integrated function since every phase of the operations of the school involves the use of supplies, equipment, and services. The relationship of the purchasing agent to all other school administrators must be clearly delineated and understood. The proper place of purchasing in a school organization is well stated by Ritterskamp:

> "The purchasing duties may be exercised by the business manager, or, in a larger institution, be delegated to a separate individual. In any case, the position should certainly be subordinate to the business manager. In his relations with the president, the governing board and other parts of the administrative machinery, the purchasing agent acts as an adjutant to the business officer. In his relation to the departments and to the business firms with which he deals, he acts directly, but under the supervision of the business officer.
>
> "There should be in the statutes a clear statement of the duties, responsibilities, and scope of authority of the person or persons responsible for business functions. The duties of subordinate responsible officers of the business organization should also be described either in the statutes or in subsidiary regulations."[2]

The board of education should designate the person to whom the function of purchasing is delegated.[3] Some boards of education name one of the following officials to this duty: the superintendent, assistant superintendent, supervising principal, assistant principal, school business administrator, clerk of the board, or (if the system is a large one) a specifically appointed purchasing agent, who shall not be the auditor.

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[2] J.J. Ritterskamp, Jr., et al, Purchasing for Educational Institutions (New York: Teachers College Press, 1961), p. 34.

[3] Regulations of the Commissioner of Education, Section 170.2(b).

The purchasing agent is the officer who must, because of his knowledge of markets and marketing conditions, determine the best sources of supply. He is familiar with the most economical quantities; the best times of the year to buy certain commodities or services; the total needs of the district's programs. Thus it is obvious that the purchasing agent must perform more than the ceremonial function of signing the purchase order. His duties in the field of procurement are broad and are outlined in Appendix 1.

The appointment of a purchasing agent should be by a resolution duly adopted by the board of education at the board's annual organization meeting. The resolution should contain the following information:

Name
Title
Effective date of appointment
The limitations which the board may impose upon the purchasing agent, if any
The responsibilities of the purchasing agent
The authority of the purchasing agent.

A sample resolution is found in Appendix 2.

This handbook has been prepared primarily for the guidance of the administrator responsible for purchase and supply. Detailed procedures which have proved their effectiveness in many school systems are suggested. Basic principles remain relatively constant whether the school district is large or small, whether purchasing is done by a full-time purchasing agent, a business administrator, clerk of the board, principal, or superintendent of schools. An attempt has been made to present information essential to the proper operation of a school purchasing office in the State of New York. It is hoped that the items and procedures set forth herein will prove helpful in this endeavor.

GLOSSARY OF PURCHASING TERMS

Bid Calendar:	A schedule of kinds of supplies, equipment, and services setting up dates when each will be bid.
Bidders List:	A list of vendors maintained in purchasing as possible sources of supply for items listed on bid proposal. The list is usually maintained by type of supplies, equipment, or services.
Bid Proposal:	A formal notice by the bidder to the buyer stating the conditions and price under which he will furnish the equipment, supplies, or services set forth in the specifications. This is customarily submitted on a bid form furnished by the school district.
Board:	The legal governing body of a school district--the board of education.
Claim:	An invoice submitted to the buyer by the supplier. The invoice may be on the vendor's form or on a claim form supplied by the school district.
Coding:	The assigning of an account number to an item or expenditure so that the expense may be charged to the proper item in the budget.
Contract:	The agreement entered into between the board of education and the supplier after an award has been made to the lowest responsible bidder meeting specifications.
Invoice:	A formal statement from the supplier to the buyer listing the amount due and the terms of payment for supplies or equipment delivered and/or services rendered as described thereon.
Lowest Responsible Bidder:	That responsible bidder furnishing required security and offering to furnish the items of supply or equipment indicated or to perform the services required in a given specification at the lowest price.
Non-Collusive Certificate:	A signed statement by vendor or bidder that prices have been arrived at independently without collusion, consultation, or agreement with any other bidder or competitor, and that prices quoted in the bid have not been disclosed to any other bidder or competitor prior to bid opening, and that no attempt has been made to induce another to submit a bid or to restrict competition.

Notice to Bidders:	A public announcement of intent to receive bids on specified equipment, supplies, or services under specified conditions, and an invitation to potential vendors to submit bids.
Purchasing:	The act of procuring supplies, equipment, or services of the right quality, in the right quantity, at the right time, at the right price, and from the right source.
Purchasing Agent:	A person who is officially designated by the board of education to contract for necessary supplies, equipment, and services.
Purchase Order:	A formal notice to a vendor that he has been selected to furnish the supplies or services described in detail thereon.
Quality Control:	The assurance, through careful specifications and testing, that the materials received on a contract or order measure up to the established need.
Quotation:	An informal notice by a vendor to the buyer stating the conditions and price under which the former will furnish certain equipment, supplies, or services.
Requisition:	A request from a person or department of a school system for one or more items or services necessary in performing a function which advances the educational program or the facilities which make the program possible.
Responsible Bidder:	A vendor who is qualified by experience and equipped to perform the work required or furnish the materials indicated on the specification and who has the necessary financial support and ability to complete the contract. (A bidder may be disqualified for illegal or unethical conduct.)
Specification:	A description of equipment, supplies, or services setting forth in a clear and concise manner the characteristics of the item to be purchased and the conditions under which the purchase will be made.
Standard List:	An agreed-upon list of commonly used items of supply and equipment among grades, classes, and schools. Such an approved list tends to reduce the number and types of items to be purchased and promotes economy through a greater quantity to be procured.

Standardization:	The result of action taken by a board of education when it decides, in the interests of efficiency and economy, to purchase a particular brand, make, or type of equipment or supply.
Warehouse:	A central storage area for stocking school supplies and equipment, or a section of a school building set aside as a storeroom for ordinary supply items.
Vendor:	A potential supplier of the items listed on a requisition or indicated in a specification.

CHAPTER I

STEPS IN THE PURCHASING FUNCTION

The purchasing function is generally considered to cover the complete supply transaction--beginning with the initiation of a request (requisition) to supply a certain need, and ending with the approval of a claim for payment.

Nine steps involved in the purchasing of supplies and equipment for schools are described below. These are applicable to the smallest unit as well as to the largest school system. The carrying out of these steps presents problems having to do with both the educational and the business management phases of school systems. Some of the steps may be eliminated or combined, provided an adequate system of control remains.

A. Processing the Requisition. A requisition is initiated by the user, e.g. teacher, principal, custodian, or stockroom clerk. While the procedure should provide an adequate means by which each user can make his need known, the number of people who initiate formal requisitions should be kept at the minimum through the proper timing and grouping of requests. Processing of requisitions will be expedited by observing the following rules:

1. Requisition must be clear, concise, and leave no doubt as to the items desired.

2. Requisition should bear the name of requisitioner and be approved by proper official.

3. Requisitions should be sent to the purchasing office after approval. The approving authority should know the use for which the items are requested and whether funds are available for purchase. Requisitions may be pre-numbered and have a letter to designate the school or department for identification purposes.

B. Preparing Specifications. Before an order is placed or a quotation is requested, the purchasing official must specify what is desired in order that prospective vendors may intelligently quote prices and fill orders.

1. Specifications may be very simple or in considerable detail.

Example: Tape Cellophane ½" x 2592" Roll
Example: Ten Key Adding Machine NCR #11-101 or Equal
Example: Items of office equipment may require a lengthy description of type, style, material, and sometimes method of construction (see Appendix #5, page 58).

2. In addition to the description, specifications must state "or equal" unless the purchase is made under a special board resolution permitting standardization (Section 103, subdivision 5, General Municipal Law). See paragraph on Standardization, Chapter IV.

C. Requesting Bids or Quotations. The purpose of obtaining bids or quotations is to encourage competition in the procurement of supplies, equipment, and services which will be paid for from public funds. It has the further purpose, of course, of discovering what a given item will cost, where it can be obtained, and when delivery will be made.

1. The information provided in a request for bid or quotation should cover at least the following points:

a. Items and quantity desired.

b. Latest date on which bid is to be returned. A reasonable span of time between request and return of bid should be provided. General Municipal Law, Section 103, requires at least five days' notice but ten days to two weeks is recommended.

c. A statement as to whether an item-by-item bid, a total bid, or both are required.

d. When catalog numbers are used to describe an article, the catalog should be identified by name and date.

e. Packing and delivery instructions and marking of shipment must be specific.

2. Requesting bids on an item or commodity group involving an expenditure in excess of $1,500.

State law requires that all school districts' purchases involving the procurement of a stated "item" which will necessitate the expenditure of more than $1,500 within a given fiscal year shall be advertised and awarded on the basis of formal bids. The advertising shall take place in the newspaper(s) designated for the purpose by the board of education. A minimum of five days must elapse between the first publication of the advertisement and the formal opening and reading of bids. This law is discussed in further detail under Chapter IV.

The procedure for purchasing under these provisions should include:

a. The advertisement for bids should be properly published. In addition a district may send typed copies of the advertisement to potential suppliers or otherwise call their attention to the advertisement. (See sample advertisement, Appendix 4, page 57.)

b. Sealed bids should be received, time-stamped, recorded, and kept in a safe place until the appointed day and time when they are publicly opened and read.

c. Certified checks and bid bonds should be examined for accuracy and recorded when required as bid security.

d. Bids should be checked and analyzed for compliance with specifications and law. Advice of the board's attorney is often sought concerning the latter. (See typical specifications and bid forms now used in some schools in the State--Appendix 5, page 58.)

3. Requesting quotations on an item or items involving an expenditure of $1,500 or less.

By far the greatest number of individual purchases by school districts is for items costing less than $1,500. This may not hold true in larger districts which can justify warehousing a host of minor items, but it is certainly the case in the majority of schools in New York State. While the basic principles of purchasing apply to all procurement, the procedure may vary in detail depending on the dollar value of the item purchased. To go through the same procedure for a $5.00 order as for a $1,000 order may result in a waste of both time and money. The following steps are recommended in processing quotations:

a. Request for quotations sent to prospective suppliers or vendors (see Appendix 10, page 75).

b. Quotations from vendors received and tabulated.

c. Quotations checked for compliance with requirements, unit price, cash discount, f.o.b., and terms.

D. Award of Contract or Issuance of Order.

1. A contract on formal bid (usually for purchases of items in excess of $1,500 and subject to provisions of the $1,500 advertising law) may be awarded by a formal written contract or by the issuance of a purchase order. In either case, the award should be made to the lowest responsible bidder meeting specifications. All action must be by formal resolution of the board of education and is usually taken after recommendation is made to the chief school officer by the purchasing official. Certified checks and bid bonds received from unsuccessful bidders should be returned.

Formal contract documents are not reserved for large contracts such as for construction, but vendors (especially repairmen) often require contracts. Any contract document should be approved by the board's attorney before it is signed. The contract is signed by the designated official, usually the board president.

In most cases, school districts issue a regular purchase order after board award of contract to the successful bidder(s). The order will refer to the bid submitted, to the specifications which will be attached as part of the contract, and will bear the price or prices indicated by the bidder in his bid.

2. Purchase orders issued on purchases under $1,500.

   a. Orders are signed by the purchasing official subject to any restrictions imposed by the terms of his appointment.

   b. Essential information to be included in the purchase order includes:

      (1) Quantity and unit package of the item.

      (2) Description of item or items.

      (3) Quoted price (including whether delivered or f.o.b. shipping point).

      (4) Packing and marking instructions.

      (5) Method of shipment--parcel post, express, freight, truck, cheapest way.

      (6) Place and time of delivery.

      (7) Terms--request that any discounts by reason of payment method be stated (example: cash discount 2% ten days).

      (8) Accounting code(s) for item(s) purchased.

   c. The purchase order should not call for services or conditions beyond those indicated on the quotation sheet and accepted by the bidder.

3. Petty cash purchases.

Petty cash purchases should not be encouraged in the purchasing program, and constant vigilance must be maintained to assure that regular purchasing procedures are not being circumvented. However, the Education Law does make provision for a Petty Cash Fund to be operated in accordance with regulations established by the Commissioner of Education. (See Section 170.3 of the Regulations of the Commissioner of Education.) These regulations limit the amount of the fund by size and type of district. In addition, they permit payment from the Petty Cash Fund only under conditions calling for immediate payment upon delivery.

E. Follow Up of Order for Delivery. The purchasing official has the responsibility for following up contracts and orders to expedite delivery. The urgency for follow up will depend on circumstances such as the need for items on a certain date, experience with the vendor, market conditions, transportation conditions, and nature of the material to be purchased. A definite routine for follow up on critical items should be established. The requisitioner should be kept advised as to the status of his requisition.

F. Invoice from Vendor. When the invoice and/or claim form is received from the vendor, the purchasing official should review it to verify that the price agrees with quotations or contract figures and the terms of the order, including f.o.b. shipping or delivery point.

If the district requires vendors to submit invoices on claim forms, they should be supplied to vendors by the district. Claim forms are processed in the same manner as an invoice.

G. Receipt of Goods. Upon receipt, goods should be checked for condition and for quantity and quality as stated in the purchase order or contract. This may be accomplished by having the receiving employee sign a packing slip or the receiving copy of the purchase order and forward it to the purchasing official as evidence of receipt of goods or materials. If only a partial shipment is received, the purchasing official may wish to prepare a confirmation order listing the material not shipped. This confirmation order will not only advise the vendor of the continued desire to secure prompt delivery of the balance of this back order, but will place in the file of outstanding orders a copy of this back order. The carbon copy of the back order confirmation will replace the original purchase order pulled from the file of outstanding orders when this original complete purchase order is attached to the invoice covering the partial shipment and moved up for audit and payment.

The purchasing agent indicates to the auditor, clerk, or other official entrusted with the processing and payment of claims that all goods covered by the claim have been received in good order. This approval of the officer giving rise to claim is required of all invoices by Education Law, Section 1724.1. The certification may be placed on each individual bill or it may appear on the warrant.

H. Quality Control. The testing of items received for conformity with specifications and for determination of potential ways to improve specifications is an important part of purchasing. Some steps that may be used are:

1. Compare with sample, if one has been submitted.

2. Apply a specific use test when possible. This means the actual application of the item for the purpose intended. Example: paper towels can be checked for ability to dry the hand without disintegrating.

3. Use a laboratory test if necessary. Example: paint can be checked for durability, consistency, spreadability, and colorfast characteristics.

I. Approval for Payment of Invoice or Claim. The final step in the purchasing procedure is the approval of the invoice or claim for payment either by the board of education or the internal auditor. As indicated under G above, this must follow notification to the accounting office that the goods covered by the claim voucher have been received in good condition. Prompt payment of claims can mean taking advantage of discounts which should result in substantial savings. School districts having an auditor (Section 2526 and Section 1709, subdivision 20-a, Education Law) to approve bills for payment are in a particularly good position to take advantage of cash discounts. The appointment of an internal claims auditor is recommended as a step forward in modernizing the structure of school business administration.

In those districts where the payment of claims must wait upon audit and approval by the board of education, special arrangements may have to be made with vendors in order to take advantage of discounts. Prompt payment promotes good relationship with vendors.

The basic steps in good procurement program discussed above are summarized in Appendix 3, page 56.

CHAPTER II

RELATIONSHIP OF PURCHASING TO OTHER SCHOOL FUNCTIONS

The purchasing procedure does not take place as an isolated administrative function. The individual responsible for purchasing must always keep in mind all functions of the school system and, in larger schools, must work closely with all offices and departments of the system.

To operate efficiently the purchasing agent must be given proper authority and cooperation in his relationship with the educational and non-teaching staff. The following are suggested as helping to define this relationship.

1. Requests for prices and/or repair service should be made by the purchasing agent, except in rare instances. In any case, the final commitment should be made by the purchasing agent through the issuance of a purchase order.

2. Salesmen should be discouraged from visiting classrooms, schools, or departments for the purpose of selling their products. For information on special or technical items, a school or department should request the visit of sales personnel through the purchasing department.

3. Communications with suppliers should be handled by purchasing personnel. Where desirable on technical matters, the purchasing agent may delegate authority to contact a supplier.

4. The purchasing agent should be in a position to seek advice from his colleagues in matters of common interest. The purchasing agent should not be expected to be an expert in all matters. For example, he should be free to counsel with the director of music or the director of physical education on matters associated with such departments.

The relationship of purchasing to other school functions is outlined below:

A. To Educational Services.

1. Designation of certain items is the responsibility of the instructional and supervisory staff, and there should be agreement on a standard of quality. Example: Textbooks are procured by the purchasing agent after adoption of texts by the board of education and upon the advice and recommendation of the chief school officer.

2. Educational personnel should be relieved of the details of procurement of supplies and equipment, including contacting sales personnel.

B. To Finance Department.

1. For budget preparation the purchasing department may:

a. Provide estimates of needs.

b. Provide market information, i.e., estimated prices, best time to purchase.

2. For budget control, cooperation is essential before purchases are made and funds encumbered.

a. The right time to purchase, from a market standpoint, may be the wrong time in terms of available school funds.

b. The finance department should be alerted concerning extraordinarily large commitments.

c. Allocation of funds is necessary prior to purchasing. Sufficient unencumbered balances must be available or adequate transfer of funds arranged.

d. Correct coding of purchases is necessary in order to charge each item to the proper account.

C. To Accounting or Auditing Division. Prior to payment, the responsible purchasing official should check the following:

1. Packing slip or duplicate copy of invoice has been properly OK'd by the receiver and the purchasing official. Any adjustments for breakage and shortage are shown.

2. Invoice is on standard claim form, if one is prescribed.

3. Invoice has been compared with purchase order and any back orders noted.

4. Available discounts are shown and taken, i.e., quantity or cash discounts.

5. Recommended accounting classification is indicated.

D. To Building or Maintenance Department.

1. Prior approval of this department should be obtained for equipment requiring utilities service or attachment to buildings.

2. Approval with reference to the safety factor of equipment to be procured should also be cleared with this unit. Some of the important considerations to check are:

a. Potential danger to user. (Electrical equipment may be dangerous unless properly shielded.)

b. Fire hazard. (Underwriters approval is desirable on much equipment.)

c. Danger of splinters from wood and from sharp edges on metal.

E. To Legal Department. (May be district's legal adviser or corporation counsel.)

1. Purchasing within scope of statutes and regulations may require legal counsel.

2. Approval of contract and other forms should be required.

3. Advice in connection with acceptance of bids may be necessary.

4. The matter of proper security (certified check, performance and bid bonds) may be cleared with legal department.

5. Decision as to when informalities on formal bids may be waived is a matter for legal counsel.

6. Advice of counsel may be desirable prior to the purchasing official's recommendation to the board of education for an award of contract.

7. The approval of the form of any contract should rest with the legal department.

8. Interpretation of the following laws and regulations affecting purchasing may be necessary:

a. Advertising law--General Municipal Law, Section 103.

b. State Education Department Regulations governing transportation.

c. Department of Transportation Regulations governing transportation.

d. Minimum wage law (on public works).

e. Child labor law.

f. School bus purchase (Education Law, Sections 3602 and 3623; Local Finance Law, Sections 32.00 and 33.00).

g. Local school district policy.

9. School districts as governmental subdivisions are tax exempt. Taxes included on a vendor's invoice should be deducted before payment.

10. The right to reject all bids for valid cause is reserved to the school district. Also reserved is the right to reject, for cause, any bid in whole or in part; to waive technical defects, qualifications, irregularities, and omissions if in its judgment the best interests of the district will be served. Also reserved is the right to reject bids and to purchase items on State Contract or County Contract, if such items can be obtained on the same terms, conditions, specifications, and at a lower price. (County Contracts, General Municipal Law, Section 103, subdivision 3, and State Contracts, General Municipal Law, Section 104.)

CHAPTER III

PURCHASING PROCEDURES

Control of Educational Needs

Purchasing should be carried out under principles of sound business management and must be within the scope of federal and state laws, local ordinances, board of education policy, and State Education Department decisions.

It is the responsibility of the purchasing official of a school district to have the required supplies and equipment on hand when needed, in the necessary quantity, and of a quality best suited for the project. Sources of supply, price, delivery, stores management, and salvage are also generally involved in the purchasing function. A number of these aspects of purchasing are considered in this chapter.

A. Quality of Product. Circumstances and use are determining factors in quality selection. In some instances an inexpensive article is adequate. There are many other situations when only the best grade is acceptable and proves most economical in the long run. Thus, the purchasing official, with his knowledge of markets and materials, has an important part to play in the selection of quality.

1. Standardization of Equipment Authorized by Law.

Section 103 of the General Municipal Law permits a board of education to standardize on items of equipment and supplies. For example, a specific make or model of school bus or matching types and styles of furniture may be procured. (See "Standardization of Equipment Authorized by Law," Chapter IV on "Competitive Purchasing.")

2. Standard or quality selection should be cooperatively determined.

Educational supplies and equipment are generally and broadly defined as items used by schools, such as instructional, office, medical, custodial, and maintenance needs. However, there are considerations peculiar to each type of supply or equipment. Some of these are set forth below.

a. Instructional supplies and equipment.

(1) Selection of titles and authors of textbooks is the responsibility of the educator.

(2) For classroom equipment and supplies the purchasing agent should be an adviser to the educator in the selection of quality. This cooperative approach will assure the procurement of a quality that is consistent with long-run economy and classroom requirements.

(3) Standard lists of supplies should be established for grades, classes, and schools. (See such list, Appendix 12, page 77.)

b. Maintenance and operations.

(1) Equipment--the plant supervisor or the custodian may require a certain brand or manufacturer's article to fit into an established operation. For example, a particular valve may be required in a plumbing or heating system. In the procurement of such maintenance equipment as floor machines, brushes, mowers, etc., consultation between the using department and the purchasing agent should result in setting up specifications covering a satisfactory type or grade of equipment.

(2) Supplies--the savings of a few cents in the purchase of an item may be negated by the cost of additional labor in its application or use. A cheap floor wax may require more labor for application and upkeep than a more expensive kind, thereby causing a possible additional cost for maintenance far offsetting a savings in original cost. In such matters, the custodian should be of considerable assistance as an adviser.

c. Office equipment and supplies.

(1) The maintenance of an established system of books and records may require replacement by a particular make of equipment, such as for bookkeeping, tabulating, and data processing equipment. Standardization may, therefore, be advisable in procuring these items.

(2) Ordinary office supplies should be purchased on a competitive basis if bidding is required because of the dollar volume, or when the quantity desired is sufficient to indicate a potential saving which will pay for the additional labor involved. Pencils, paper, typewriter ribbons, etc., should be based on specifications covering the desired quality after an agreement has been reached as to styles and types needed.

d. Transportation equipment and supplies.

(1) Equipment such as buses and trucks should be selected on the basis of the most suitable type based on past experience and road conditions.

(a) Conventional type of bus (motor under hood).

(b) Light-duty vs. heavy-duty.

(c) Size of bus (pupil capacity).

(2) For interchange of parts it may be desirable to have two or more buses or trucks of the same make in a fleet in order to insure continuing operation.

(3) Standardization of buses is now permitted by law. (See "Standardization of Equipment Authorized by Law," Chapter IV on "Competitive Purchasing.")

3. Factors influencing quality determination in the purchase of equipment items are:

a. Long-term or short-term investment.

b. Economy of operation over a period of time.

c. Budget control (availability of funds at specific time).

d. Labor-saving possibilities.

e. Dependability in an emergency.

f. Ease of maintenance by board's employees.

g. Economy in repairs--cost of parts.

h. Service rendered by vendor when required.

i. Standardization, if approved.

j. Durability for the "long pull."

4. Factors influencing quality determination in purchase of supplies are:

a. Repetitive items--supplies used constantly in a school system.

b. Uniformity of product over a period of time.

c. Ease of use by students, teachers, or custodians.

d. Economy--price not always the final factor.

e. Labor-saving--a final consideration in many cases.

f. Suitability for purpose purchased.

g. Standard list of supplies.

5. Some of the "yardsticks" for measuring quality are:

   a. Physical properties. Frequently, certain characteristics are important in establishing the desired quality. Tests such as the following may be made to check for such characteristics:

      (1) Tensile strength of metals.

      (2) Bursting, folding, and tearing strength of paper.

      (3) Dimensions, such as tolerance in size (1/1000 of inch).

      (4) Common thread count for textiles.

      (5) Formula of product.

      (6) Purity and strength of product.

   b. Performance of product. The following examples of tests may be run to determine what a product will do or accomplish.

      (1) Wearing and covering qualities of paint.

      (2) Absorption qualities of paper towel.

Valuable information for the purchasing official and the using department on many products is contained in the publications Consumers' Bulletin (Consumers' Research, Inc., Washington, New Jersey) and Consumer Reports (Consumers' Union, U.S., Inc, 256 Washington St., Mt. Vernon, New York).

6. Specifications for items to be purchased should be clear and concise so as to place the basic responsibility on the seller to provide a product that will meet the needs of the user. To assure quality standards in items to be furnished, specifications should indicate to the vendor what is required and expected. Specifications may be simple or written in considerable detail depending on the importance of the item or the necessity for minute description to define type and quality demanded.

a. Specifications may describe requirements in terms of:

    (1) Chemical composition.

    (2) Physical, chemical, or electrical characteristics.

    (3) Materials and method of construction.

    (4) Dimensions and tolerance.

    (5) Manufacturer's description or model number (the words "or equal" must be added unless standardization has been authorized).

    (6) Board of education sample.

    (7) Bidder's sample, when requested.

    (8) Performance factors.

b. Specifications and instructions, especially on bids, should include the following: (See Bid Form, Appendix 5, page 58.)

    (1) The bid price is to be the net delivered price. There is to be no charge for delivery or insurance.

    (2) Definite or approximate quantity required.

    (3) Where and when delivery is to be made. Reasonable penalty clause for non-delivery on time may be included if deemed essential.

    (4) Statement when award will be made.

    (5) If an alternate bid is requested, details must be given as to what alternate includes.

    (6) If sample showing quality desired is available, statement where bidder may inspect such sample.

    (7) If bidder is requested to furnish a sample for conformity, statement where and when such sample is to be delivered.

    (8) Type of packing required.

    (9) Statement that board reserves the right to reject all bids and to waive informalities or minor irregularities.

(10) Requirement of bidder's guarantee that all goods meet specifications and that he will replace all non-acceptable items at his own expense.

(11) Sample contract documents (if any) which are to be signed by the successful bidder and the school district.

(12) Statement of any surety required; i.e., certified check or bid bond, and performance bond if a condition of the contract.

(13) If specifications call for a piece of equipment to be taken in trade, they should state where such an item may be seen by bidder.

(14) Explanation of how tests for conformity with specifications will be made.

(15) Official proposal sheet or bid form.

c. Specifications may be based on:

(1) A very detailed description of equipment or supplies required (see Specification, Appendix 5, page 58).

(2) Standard specifications available from a number of sources. Some of the best known are:

(a) Federal Bureau of Standards ordinarily known as Federal Specifications (write to the General Service Administration, Washington, D.C., 20025).

(b) Specifications of American Society for Testing and Materials (1916 Race Street, Philadelphia, Pa., 19103).

(c) Specifications of American Society of Mechanical Engineers (345 East 47th Street, New York, N.Y.).

(d) Specifications of New York State Division of Standards and Purchase (Office of General Services, South Mall Tower, 38th Floor, Albany, New York, 12223).

(3) The buyer's sample--available to all bidders.

(4) Designation of a trade name as a standard.

(5) Designation of a manufacturer's number as a standard, for example, Smooth-on #4 Plane.

        - (6) The bidder's sample, blueprint, or catalog page. Bidder's sample, if accepted, should be retained until contract has been satisfactorily completed.

    d. Specifications should be broad enough to allow for:

        (1) Compliance and competition.

        (2) Use of commercial standards or products where possible. Deviations from such standards generally result in greater costs to the district.

7. Quality control (testing). On receipt of shipment, goods should be checked to ascertain if they meet specifications. This may be done in several ways:

    a. By checking of descriptive label on standard package; i.e., to see that Smooth-on #4 Plane is so boxed and labeled.

    b. By comparing with school district's sample.

    c. By actual use test (this is one of the best and most satisfactory methods).

        (1) Does soap or detergent do the work for which intended?

        (2) Do towels dry hands satisfactorily?

        (3) Is magnet test used to determine brass or steel?

        (4) Is weight of item or groups of items checked by weighing?

        (5) Does drawing paper take ink without feathering?

    d. By laboratory test, where necessary, in:

        (1) School district's own facilities.

        (2) Government or city laboratory.

        (3) College or commercial laboratory.

B. Quantity to Be Purchased (determination of needs).

1. Non-recurring items (one-time purchase). Quantity determination for the purchase of a non-repetitive or non-recurring item to be used by one department or person presents no problem (i.e., purchase of a refrigerator for the cafeteria, a printing press for the print shop).

2. Recurring items. Quantity determination of repeat items of purchase for use by two or more departments or persons requires careful planning. Some helpful suggestions are given for expediting this kind of purchase.

a. The purchasing official sets a specific date for bringing in requisitions for certain items or groups of items.

b. The requirements of various units in the school are combined; i.e., a principal consolidates all the requests from various school units for a given item on one requisition.

c. The purchasing official combines all the requisitions on a given item for the whole district.

d. Items to be furnished have been included on standard supply lists, insofar as possible.

e. Replacement of warehouse stock should be based on:

(1) Inventory or stock record of item under consideration.

(2) Past usage and demand.

(3) Increase or decrease of pupil enrollment and number of teachers.

(4) Information from data processing, if this system is being used.

3. Factors determining economical quantity to be purchased:

a. Rate of use. Does the item move quickly?

b. Standard package. It is advisable to avoid breaking standard quantities such as ream, gross, carton, or set.

c. Transportation cost. A truck or carload lot may result in a lower unit price.

d. Quantity discount. An extra discount for a larger purchase may not be economical if the additional quantity is in excess of need. The purchasing agent should beware of overbuying.

e. Inventory record. This should give an excellent picture of needs based on past usage.

f. Time required for delivery--whether immediate or involving extended waiting period. The economic situation at a given time may influence delivery.

g. Storage facilities available.

h. Market condition or trend.

i. Cooperative sharing of items by departments or groups may be possible, for example, paper cutters, paper punches, visual aids.

4. Factors favoring large quantity, infrequent purchases:

a. Budget control. Quantity purchases will reduce number of entries against an account.

b. Better price. Volume purchasing frequently decreases unit cost. Price per unit may change at 25 or 100 units.

c. Lower delivery cost. Usually the cost per hundred-weight decreases as the tonnage increases.

d. Purchase department expense. Fewer orders necessitate less paper work, thus saving time and money.

e. Adequate and continuous supply is assured.

Many school systems have found it economical to contract for or to purchase supplies once a year on a cyclical basis. Delivery may be specified in one shipment or spread out over the year in several installments.

5. Factors favoring small, frequent purchases:

a. Nonstorage cost. Warehousing overhead is eliminated.

b. No deterioration. Merchandise is used up speedily.

c. Less danger of obsolescence. Newer models can be ordered.

d. Changing educational needs or user preference. Program changes are not held up because old supplies must be used.

e. Less insurance risk. Smaller value of stock to be protected from loss.

6. Recurring items may be purchased on annual contract or periodic large order basis for delivery as needed.

a. Fuel oil for season's use.

b. Electric lamps -- incandescent and flourescent

c. Carbon paper, typewriter ribbons, and stencils and other duplicating supplies.

d. Milk, ice cream, bread, meats -- school lunch items.

e. Agreements for maintenance services for office machines, motors, clocks, and boilers.

7. Types of contract--for the purchase of school materials, the Definite Quantity or the Continuous Contract may be used.

a. Definite Quantity Contract should be used when specific amounts of material are to be purchased at one time, with delivery in one lot or at specific times during the year. For example, 1,000 reams mimeograph paper, with delivery in one shipment or 250 reams quarterly.

b. Continuing Contract is used when amount is indefinite (but estimated) for delivery during the fiscal year. For example, fuel oil as required. School lunch items as milk, bread, and ice cream come under this heading.

8. Frequent and recurring items relatively small in value may be procured by:

a. Blanket orders issued monthly on local dealers for emergency needs:

(1) Panes of window glass in less than full boxes.

(2) Minor repairs to motor vehicles.

(3) Oxygen and acetylene tank refills.

(4) Day-to-day custodial needs for minor repairs.

b. Setting up policy for buying and paying cash for small, incidental items. Board must establish rules and regulations for the operation of petty cash funds in conformance with Section 170.3, Regulations of the Commissioner of Education.

9. Confirming orders for emergency supplies after approval by the purchasing agent. While this method of purchasing is not recommended, there are instances where it may justifiably be used in order to save time and labor cost ; for example, immediate repairs for electric and plumbing equipment or service.

C. Storage or Stocking of School Supplies and Equipment.

1. A central warehouse may be desirable in larger districts to provide storage facilities for the following:

a. Extra desks and chairs for teachers and pupils.

b. Typewriters and other equipment, i.e., record players, audio-visual equipment, etc.

c. Common office supplies.

d. Electrical, plumbing, and other maintenance needs

e. Paper, pencils, crayons, and other fast-moving classroom supplies.

f. Soaps, waxes, brushes, cans, lamps, and other custodial supplies.

2. Storerooms in school buildings. Limited space will probably prevent carrying any appreciable quantity except fast-moving items of ordinary classroom, office, and custodial supplies.

3. How much to order and store will be determined by available storage space. Whether to establish a central storeroom or warehouse depends on many factors. Among these are: size of system, number of buildings, convenience, proximity to markets, annual consumption of supplies. It is sometimes an accepted guide that if a school system has ten or more buildings to service, a central warehouse may prove economical and convenient. Before a warehouse is established, the whole matter of delivery costs and warehouse expenses should be carefully investigated in a feasibility study.

D. Inventory Records.

1. Inventory records serve several main purposes essential to an efficient school business operation. These are: (1) the identification and location of equipment, items, and stocked supplies in school buildings, offices, and in a central storehouse; (2) the basis for

estimating present value of items for insurance and budget purposes; and (3) the provision of information for quantity and adequacy control.

2. The type of records kept will vary from district to district. However, all districts may wish to include the following basic information:

- a. Description of item.
- b. Identification number.
- c. Date of entry or accession.
- d. Quantity on hand with critical balance at which time a reorder is initiated.
- e. Vendor or vendors.
- f. Cost--with depreciation or replacement value, if equipment.
- g. Location, school and room number, or warehouse.

3. Periodic physical inventory of stock and equipment is recommended. This should be done once a year for warehouse items and at specified times for valuable equipment in school buildings and offices.

- a. For insurance control.
- b. To reduce excess stock.
- c. To dispose of obsolete items.
- d. To detect pilferage or loss by other causes.

4. A perpetual inventory system is desirable.

- a. Provides for stock control.
- b. Is usually a business office record supported by cards or other inventory devices at the storage or location point. Data processing may be a help in stock control.

5. Educational contracts.

In certain areas of purchasing it is possible to procure instructional equipment on contract by which the vendor agrees to replace his product with new equipment once a year or when new designs are available. It is well to check on such items as sewing machines, stoves, refrigerators, etc., for homemaking classes. The exchanges are either on the basis of no charge or a relatively small charge for the new model.

E. Salvaging Materials. The salvage of materials is usually considered a responsibility of the purchasing official. Board approval should be obtained for disposition of district-owned items in surplus.

1. Obsolescence.
    a. Items of equipment may be turned in on new purchases (e.g., old typewriters, printing press, refrigerators).
    b. Items of equipment may be offered for public sale.
        (1) These should be advertised if they are of considerable value, or
        (2) There may be acceptance of suitable offer from dealer or individual.
    c. In stock control it is desirable to use principle of "first in, first out" in order to use up old items and eliminate obsolescence. As far as possible old stock should be used before issuing a newer pattern or style. It is helpful to have the receiving date marked on stocked items.
2. Scrap.
    a. Metals should be sold for junk.
    b. Paper should be sold as waste paper.

Scrap items of one department may prove to be valuable experimental material for special class teachers or for craft work in another department.

CHAPTER IV

COMPETITIVE PURCHASING

Advertising Law

Competition is a basis for all purchasing, whether it be in industry or by governmental agency. The purchasing agent for a public school district, however, has many more restrictions placed on him than has the industrial purchasing agent. Federal and State laws as well as board policy set forth certain procedures which must be followed.

A. The Underlying Principles of Purchasing by Competitive Bidding.

1. To give all recognized and responsible vendors equal opportunity in furnishing supplies and equipment and services to the district.

2. To prevent the favoring of one vendor over another.

3. To keep district taxpayers informed on business matters pertaining to schools.

4. To prevent fraud on the part of the purchasing official.

B. Purchases Exceeding $1,500 for Materials, Equipment, or Supplies. A purchasing procedure for all school districts in the State was established by Chapter 861 of the Laws of 1953 which added to the General Municipal Law Article 5-A containing Section 103. This Section, as last amended, reads as follows:

"Advertising for bids; letting of contracts.

1. Except as otherwise expressly provided by an act of the legislature or by a local law adopted prior to September first, nineteen hundred fifty-three, all contracts for public work involving an expenditure of more than thirty-five hundred dollars and all purchase contracts involving an expenditure of more than fifteen hundred dollars, shall be awarded by the appropriate officer, board or agency of a political subdivision or of any district therein including but not limited to a soil conservation district, to the lowest responsible bidder, furnishing the required security after advertisement for sealed bids in the manner provided by this section. In any case where a responsible bidder's gross price is reducible by an allowance for the value of used machinery, equipment, apparatus or tools to be traded in by a political subdivision, the gross price shall be reduced by the amount of such allowance, for the purpose of determining the low bid. In cases where two or more responsible bidders furnishing the required security submit identical bids as to price, such officer, board or agency may

award the contract to any of such bidders. Such officer, board or agency may, in his or its discretion, reject all bids and readvertise for new bids in the manner provided by this section.

"2. Advertisement for bids shall be published in the official newspaper or newspapers, if any, or otherwise in a newspaper or newspapers designated for such purpose. Such advertisement shall contain a statement of the time when and place where all bids received pursuant to such notice will be publicly opened and read. Such board or agency may by resolution designate any officer or employee to open the bids at the time and place specified in the notice. Such designee shall make a record of such bids in such form and detail as the board or agency shall prescribe and present the same at the next regular or special meeting of such board or agency. All bids received shall be publicly opened and read at the time and place so specified. At least five days shall elapse between the first publication of such advertisement and the date so specified for the opening and reading of bids."

There have been several amendments to this law since its adoption. Some have liberalized its provisions and others have interpreted its meaning. Noteworthy amendments are referred to in this handbook.

A few of the questions and problems which have been clarified by the Division of Educational Management Services and the Office of Counsel of the State Education Department are presented under the following headings:

1. What does the law cover? The Advertising Law requires competitive bidding on all purchase contracts involving an expenditure of more than $1,500 annually for items of materials, supplies, and equipment. This is generally interpreted as covering groups of items as well as individual items. Instead of referring to only one type of pencil, crayon, etc., included are groups of pencils, crayons, etc., provided the annual expenditure of such groups is more than $1,500. The law does not cover service contracts such as for insurance, telephone, electricity, water, or services performed by engineers, architects, and attorneys.

2. Does the law require advertising in connection with the purchase of a season's supply of fuel oil for delivery on demand or the purchase of school lunch supplies, milk and ice cream, bread and meats as required? Yes. This should become regular procedure for all districts where consumption of such items is above the $1,500 limit.

3. Instead of formally advertising, may a district buy an item of supply in two lots during the year if neither consignment reaches $1,500 value? This is a realistic question, and several factors enter into its consideration. For example, the total value of mimeograph paper or paper towels used during the year might run over $1,500, but if purchased one-half in July and the other half in December, would be less than $1,500 for each purchase. Lack of storage facilities could also be a deterrent to accepting delivery in one lot. Other considerations may exist which would justify dividing the purchase. However, it is necessary to advertise if the annual purchases exceed $1,500 regardless of the number of deliveries called for during the school year.

4. What is the basis for local action? The general intent of the law, and the school district's responsibility thereunder should be the basis for action. The general interest of the taxpayers and the economical and efficient operation of the schools should dictate the action to be taken by the district. Circumstances vary, and a procedure considered good for one district could work to the detriment of another. In Pioneer Coal Company vs Board of Education of the City of Rochester, Monroe County Supreme Court, Wheeler, J., September 10, 1949, it was held that "It is the well-settled law of this state that in the absence of fraud, corruption, or abuse of discretion, the judgment or discretion of the proper officials will not be disturbed by the courts." However, evading the intent of the law cannot be countenanced.

5. How tight should a specification be written? Here again circumstances will be the determining factor. For example, a school district has the right to determine the kind of bus it requires as to type, size, power unit, and other important factors. Generally accepted educational practices may make it desirable to have the several makes of typewriters and office machines available for students, rather than have all typewriters of one make. The same principle may apply to homemaking equipment and shop machines. Educational authorities have the responsibility to specify which textbook is to be used without regard to competition. School officials certainly have the right to determine the type of pupil seating best adapted, in their opinion, for a particular district. It may be highly desirable to match existing furniture as far as possible in order to provide for flexibility and interchange of equipment. Even a manufacturer's style or symbol may be mentioned in a specification to indicate the standard required. However, the phrase "or equivalent" should be included in order to provide for competitive bidding. When the low bidder offers an alternate or substitute, the board must determine whether the item offered is, in fact, equal to that specified. Remember that the award must be made to the lowest responsible bidder meeting specifications. Bidders may be disqualified for failure to meet specifications.

6. $1,500 refers to the net, not the gross price. In 1962 Section 103 of the General Municipal Law was amended clarifying that the $1,500 limit applies to the net rather than the gross price. "In any case where a responsible bidder's gross price is reducible by an allowance for the value of used machinery, equipment, apparatus or tools to be traded in by a political subdivision, the gross price shall be reduced by the amount of such allowance for the purpose of determining the low bid." Examples are old typewriters, lathes, sewing machines, etc., turned in on purchase of new and so indicated in specifications. In such cases the bidding sheet usually provides for a gross price for the new item or items, less an allowance for the trade-ins, and the resulting net delivered price.

When a discount is involved, the net price is the determining factor as to whether an item comes under the $1,500 limitation. Thus, the discount is not considered to be a part of the payment. However, the specification should state that the board reserves the right to purchase by individual items, groups of items, or by total of all items in line with the best interests of the school district. The board should also specify that all discounts will be considered in determining the lowest responsible bidder.

7. Standardization of equipment authorized by law. Section 103 of the General Municipal Law makes it possible for a board of education to standardize on a particular type or kind of equipment, material, or supplies by adopting a resolution, "by a vote of at least two-thirds of the members of the governing body of a political subdivision" affirming that there is need for standardization. The "resolution shall contain a full explanation for its adoption." However, this action does not eliminate the necessity of advertising for bids and awarding the contract "to the lowest responsible bidder furnishing the required security."

Standardization, as the word implies, permits and defines the purchase of a specific make, model, or type of equipment or supply. For example, to concentrate on one satisfactory make or model of school bus may be practical and economical because of the interchange of parts, or the ability of personnel to operate any one of the fleet of buses; or in the case of school or library equipment, it may be desirable to match existing furniture in design or color for aesthetic reasons.

Although the approval of such action by a governing board does not eliminate the need for formal advertising on purchases over $1,500, the words "or equal"--"or equivalent" are not required in the specifications. The make or model may be specified, and anyone who can furnish the item may bid. It would be advisable for the specifications to indicate that the board has standardized on the item(s).

The same amendment also provides that "surplus and second-hand supplies, material, or equipment may be purchased without competitive bidding from the federal government, the State of New York, or any other political subdivision or district."

The Office of Counsel of the State Education Department has indicated that competitive bids are not required on new textbooks when the publisher is the sole source of supply. In the case of textbooks, however, it is advisable for the purchasing official to ascertain their cost on both a delivered price and at the publisher's plant. Then, on the basis of transportation costs, the district may determine which bid is the most beneficial. Library books and magazine subscriptions should be advertised, if the total is over $1,500, as various vendors may be in position to bid.

8. Emergency purchases without bidding are also provided for in an amendment to the advertising law. A public emergency may arise out of an accident or other unforeseen occurrence which could affect the life, health, or safety of children and where immediate action cannot await competitive bidding. Fire or damage by the elements to electric systems or school plumbing come under this head. Authority for emergency purchasing is contained in Section 103, subdivision 4, of the General Municipal Law. Note the words "accident" and "unforeseen occurrence." Boards of education should observe strict definition in declaring the existence of an emergency.

9. Advertising for bids, as required by the law, seems clear enough. To obtain as much coverage as possible and to reach the best markets, the suggestion is made for small or rural districts to advertise in a newspaper in the nearest city as well as in the rural paper. To be sure that the information covered by the advertisement is seen by suppliers who could bid on the district's requirements, it is well to mail copies of the advertisement and specifications to prospective vendors known to the school purchasing official and to post notices of bids in the district's business office. At least five days (preferably working days) must elapse between the first publication of an advertisement and the date specified for the opening of bids. It is preferable, if time permits, to allow from ten days to two weeks on bids.

10. Opening of bids. Advertised bids must be opened publicly and read aloud. Bidders and/or other interested persons may attend such openings. Bids should be opened by the purchasing agent or any other designated person. If there are no spectators present, it is advisable to have another person from the business office or administrative staff present as witness.

11. Recording and safekeeping of bids. Bids may be received at any time after advertising and before they are opened and read. It is highly desirable to date and time stamp the bids when received. Usually a special or distinctive envelope is provided by the district to identify the bid by name such as "Bid for Library Furniture" so that if bids for more than one project are to be opened at the same date and time, they may be properly grouped before opening. Any bid received after the official time for opening cannot be considered. A letter should be sent to the bidder with the unopened bid stating that bid was received after official time of opening.

12. Award of contract. If the board of education is in session when bids are opened, a contract may be awarded at once. However, it is advisable to review bids carefully, and a reasonable time may elapse between opening of bids and award of contract. In case identical bids are received, the award may not be divided. The board should determine which bidder is to receive the contract; or if the board believes there may be collusion between bidders, all bids may be rejected and readvertised.

13. Equipment requiring installation. This handbook does not go into detail in connection with construction contracts (new buildings, additions to buildings, etc.). However, when bids are requested on equipment to be installed or erected in a school building (such as lockers, shelving, and science equipment), the district should, in its specifications and instructions to bidders, specify that the vendor is to comply with all state and local regulations relating to labor, such as minimum hourly wage, working conditions, insurance, and safety factors. The inclusion of such requirements may eliminate confusion and possible misunderstanding between the vendor and the district as the work progresses and insure no work stoppage because of infringement of labor laws or regulations.

14. Bidder's withdrawal of bid submitted. Information to bidders usually states that bids cannot be withdrawn for a specified number of days, e.g., 45 days. A problem arises when a contractor, upon being notified that he will be awarded a contract for a job, refuses to enter into a contract of performance because he discovers he made a mistake in preparing his bid and cannot perform at the price mistakenly quoted. Many such cases have "gone to court." A contractor is generally allowed to avoid his commitment if he can meet all of the five following conditions: (1) His mistake is material - it involves an amount so large as to result in a substantial loss to him. (2) Enforcement of the contract is unconscionable (excessive, unreasonable, unfair, unjust). The contractor must be able to show that performance will amount to a hardship on him. (3) The mistake is not due to gross negligence - when the figure he submitted in his bid is erroneous because of a mathematical or clerical error in tabulating or transferring figures. Relief would be denied for an error in judgment. (4) The bid must not work a substantial hardship on the school district - that is going to the next higher bidder will not cause unreasonable hardship on the district. (5) Prompt notice of the error must have been given to the owner of the work project before the award is made.

CHAPTER V

PURCHASING THROUGH AGENCIES OTHER THAN VENDORS

A. Office of General Services. State laws make it possible for school districts to purchase supplies and equipment through the State Office of General Services.[1]

1. The Office of General Services is the central procurement agency for the State of New York. Its purchases for state departments and institutions and political subdivisions average more than $300 million a year. This office makes contracts covering more than 475 groups of commodities, many of which are used by school districts. A list of such groups, issued by the Office of General Services, and a breakdown of individual items is included in the "Index of Commodities." Copies of these lists may be obtained by school districts on request to the Office of General Services, South Mall Tower, 38th Floor, Albany, New York, 12223.

School districts may order from state contracts, and information on existing contracts is contained in "Award" sheets issued by the Office of General Services covering the various groups listed. Names of contractors, together with price and packaging, are included, and a district may send orders at state contract prices direct to the companies listed. Examples of commodities which may be purchased are:

Copy Machines and Supplies
Food Supplies, Cafeteria
Fuel
Office Equipment and Supplies
Mechanical and Motorized Equipment (buses)
Laboratory Equipment and Supplies
Miscellaneous Equipment and Supplies
Gasoline
Transportation Supplies (tires, tubes, grease, oil
  anti-freeze, batteries, etc.)
School Furniture
School and Art Supplies
Athletic and Playground Equipment
Pianos and Music Instruments
Paints
Paper Products (art, fine, towels, etc.)

The procedures which districts must follow in obtaining information and in participating in State Purchase Contracts is described in Letter CL-11 dated April 24, 1972. This letter may be obtained from the Office of General Services.

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[1] Article 5-A, Section 104, General Municipal Law.

The Office of General Services does not actively solicit participation by school districts in their purchase contracts, but welcomes inquiries and provides information on request. The Office, also on request, develops quality specifications, provides inspection services, makes chemical and minor physical analyses of commodity samples, and negotiates special purchases.

Purchases of any dollar value may be made through the Office of General Services without competitive bidding.

A district may advertise for bids, then reject all and buy under State Contracts if it is to its advantage, providing the specifications are clear in this respect.

B. Purchase of prison-made goods. Section 184 of the State Correction Law, as well as an interim opinion by the Attorney General, makes it mandatory for all subdivisions of the State, including school districts, to secure their requirements from the Division of Industries, State Department of Correction, to the extent to which such requirements can be supplied. If the desired goods are not promptly available, a "Certificate of Release" should be obtained from the Division of Industries. A catalog of prison-made goods may be obtained from Department of Correction, Division of Industries, State Campus, Building #2, Albany, New York, 12226.

C. Blind-made products, that meet the requirements of a school district, must be purchased from Industries for the Blind of New York State without public bidding as stated in Sections 175-a and 175-b of the State Finance Law.[2] Suitable products produced by the blind and generally used by schools, such as brooms, brushes, wet mops, dust mops, towels, and other items have been approved by the Office of General Services for specifications and price, and are listed in a catalog of products which is available from the Industries for the Blind of New York State, Inc., 2208 Jericho Turnpike, Garden City Park, New York, 11040.

D. Participation in county contracts. School districts are permitted by law to take advantage of county purchasing contracts providing the program has been authorized by the Board of Supervisors of the county in which the school district is located.[3]

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[2] State Finance Law, Sections 162, 175, 175-a, 175-b; State Correction Law, Section 184.

[3] General Municipal Law, Section 103, Subdivision 3.

E. Cooperative purchasing agreements may be made by two or more school districts. Any agreement entered into must have the approval of the governing bodies of each district willing to participate, and costs of operation are prorated in accordance with the volume of purchases and utilization of these arrangements by each participating district. Such a joint operation may be effected through a Board of Cooperative Educational Services.[4]

In addition to cooperative purchasing agreements, it is possible for two or more school districts jointly to advertise and receive bids for any materials or supplies desired, provided regulations are followed which apply for any purchases made by individual districts. Agreements must be clear as to procedural details and specifications between the participating school districts, before such joint action can be undertaken.

The participating districts may appoint one official or one body to recommend award of contracts after advertising and bidding. Specifications may also be written requiring vendors to deliver items to and bill each district separately for its portion of the contract.

It has been demonstrated that cooperative purchasing by two or more districts has resulted in lower prices because of the larger quantities involved, and savings have resulted to the districts in expense, time, and effort.

Buses, among other items, have been purchased cooperatively to the advantage of the participating districts, where the districts have agreed in advance on common specifications. Many other items of supplies and equipment lend themselves to cooperative purchasing.

The advertising law still applies in cooperative bidding and purchasing projects.

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[4] General Municipal Law, Section 119-o.

CHAPTER VI

PURCHASING FORMS, RECORDS, AND RECOMMENDATIONS

In order to perform his duties and serve his district effectively, the school purchasing official requires information, records, and forms. Depending on the size of the district, these tools may be complex or simple. Adequacy and expediency should be the test. Not the least of the aids to good purchasing is a continuous evaluation of the procurement program.

A. Purchasing Records.

1. Commodity information records may be on cards or loose-leaf pages with description of item of equipment or supply entered on them. A supply of such forms can be reproduced in the desired format in advance of need.

2. Record of orders placed include:

    a. Date of order, order number, and name of vendor.

    b. Quantity, unit price, total price.

    c. Record of receipt.

    d. Comments as to quality, service, delivery, packing, etc.

3. Vendors' directory should include:

    a. Office address and phone number of vendor.

    b. Name of person to be contacted.

    c. Type of supplies or equipment carried.

    d. Financial rating or comments.

    e. Notes on past performance.

4. Contract record for formal purchase contracts and public work contracts, over $1,500 and $3,500 respectively, should contain official data and papers on such contracts.

5. Specifications record should include:

    a. Description of common-use supplies.

    b. Comprehensive details on equipment frequently procured with changes entered as required to keep information up to date.

6. Periodic reorder calendar or tickler file should be maintained:

   a. For annual items.

   b. For seasonal items--example: lawn mowers, snow shovels, rock salt.

   c. Special items requiring time element for delivery.

7. Follow-up record of orders should be kept:

   a. On specific orders, where advisable because of importance of meeting delivery date.

   b. Routine check should provide for periodic cancellation of outdated orders or for failure to meet conditions of order.

8. Receipt of supplies and services record for auditing purposes.

9. Inventory sheets should be filed in purchasing office if responsibility for the inventory is in purchasing office, otherwise filed in the office most concerned.

10. Catalog files are an important help in the purchasing function. Catalogs should be arranged so as to be easily accessible, not only to the purchasing official, but to all interested persons in the school organization. Catalogs should be kept current and dated on receipt. Collectively, they become a library of valuable information. A card file with cross references, such as is used in a library, will assist in filing catalogs and in issuing them to interested school personnel.

11. A container record should be kept for items such as oxygen cylinders, oil and soap containers billed to the district by the vendor and returnable for credit.

12. A salvage record should be kept for disposed equipment or scrap sold.

13. Automated data processing is a valuable management tool for the purchasing agent. Specifically, services from the computer center may be utilized in two areas applicable to the purchasing function--inventory control and accounting. Examples of information obtained from data processing include control of minimum and maximum inventory levels, reordering, scheduling of deliveries, product information, accounts payable, and much more. The total cost of purchasing may be reduced considerably by minimizing paperwork and red tape. Holding down the cost of material acquisition is the first step toward purchasing efficiency.

The programming devised for inventory control and/or accounting will depend on the information required by the purchasing department. Programming will vary according to the particular situation.

The automated data processing system must be tailored to the definite needs of the particular school district. When the need for a more efficient operation is required, an automated data processing system may be the answer to the problem. The decision for automation should be considered carefully, and a study should be made of the system of recording, processing, storing, retrieving, and using data. Future volume of information, allowing for growth factors, should be determined in the study also.

Computer services are an important managerial aid in the areas of planning, analysis, recordkeeping, tabulating, and research. The data processing system employed should be carefully analyzed and tested before final program adoption. "Debugging" a new program and running parallel systems before accepting the new and discontinuing the old will eliminate time consuming problems when the program is set up and operational. The final results will be only as good as the raw data input in any data processing system.

B. Purchasing Forms.

1. Requisitions. In some districts a single requisition form may serve all purposes and types of requests. In other districts, depending on size and variety of activities, several different special purpose requisition forms may be desirable for efficient operation of the purchasing function. There appears to be no set standard as to type and number of forms. The following comments describe some of the current practices in this State:

a. In relatively small city and central school districts, two requisition forms may be used.

   (1) General requisition to cover both the direct purchase of an item and the furnishing of the article from the warehouse.

      (a) Original copy to business office.

      (b) Carbon copy retained at school.

   (2) Building requisition--to cover changes in buildings or equipment to be attached to building or connected with services.

      (a) Original copy to business office or building and grounds department.

      (b) Copy retained at school.

2. Annual Requisition Forms. When purchasing is done on an annual basis, the following specialized and pre-established annual requisition forms or standard supply lists for recurring supplies and equipment needs may be used. The group listings indicate the breakdown into items pertaining to the department or service named.

(1) General art and crafts.

(2) General school supplies.

(3) Industrial arts supplies.

(4) Health supplies.

(5) Homemaking supplies.

(6) Kindergarten supplies.

(7) Library books and supplies.

(8) Various school equipment: desks, chairs, tables, typewriters.

(9) Textbooks and workbooks.

(10) Magazines.

(11) Musical instruments.

(12) Science supplies and equipment.

(13) Audio-visual supplies and equipment, television, radio, etc.

(14) Physical education and interscholastic sports supplies and equipment.

(15) Custodial supplies.

(16) Maintenance equipment.

(17) Transportation supplies and equipment.

(18) Cafeteria supplies and equipment.

The above requisition forms should have a place to indicate quantity on hand, quantity needed, unit cost, and net order. They should be approved by the school building principal before being sent to the central office.

b. In some of the larger districts of the State the following types of requisition forms and procedures have been standardized:

   (1) Requisition for direct purchase. Used for all items not kept in stock. (See sample form, Appendix 7, page 72.)

      (a) One copy sent to purchasing office.

      (b) Carbon copy retained at initiating school or department.

   (2) Requisition for maintenance, repairs, and installation. Used for repairs to buildings, services, installations of equipment that fasten to buildings. (See sample form, Appendix 8, page 73.)

      (a) One copy to purchasing department for routing and numbering.

      (b) One copy to buildings and grounds department.

      (c) Carbon retained at school.

   (3) Requisition from warehouse stock. (See sample form, Appendix 9, page 74.)

      (a) Original and one copy to business office. The copy returned to school with goods requested.

      (b) One copy retained at school.

c. Very large school districts may use other forms for supply and equipment items, for example:

   (1) Requisition for warehouse supply. Used only by warehouse to replenish its stock by purchase.

   (2) Requisition for work by buildings and grounds staff.

   (3) Requisition for public work contracts.

   (4) Release form. Used to cover release of items of equipment or supply for return to storage when no longer needed by school, either oversupply or obsolescence.

3. Quotation. (See sample, Appendix 10, page 75.) This may be a very simple mimeographed form or printed form with sufficient space to indicate in detail what is required and additional space for the bidder to enter his price. Established procedures will facilitate the processing of these forms both by the district and by the potential vendor.

a. Use of a uniform quotation form, i.e., 8½" x 11".

b. Completion in duplicate, providing the vendor with a worksheet copy and a copy to return to the district as the quotation.

c. Allowance of sufficient space on sheet for bidder's interpretation of each item.

4. Purchase order form. (See sample, Appendix 11, page 76.) No two districts whose forms have been studied use the same order form. The number of copies of an order used varies from two to eight. Here again, a form that fits the needs of the district is obviously desirable. Where only two copies are typed, the original is sent to the vendor, and the duplicate remains in the purchasing or school district's business office. If general agreement could be reached on the most efficient number of copies of orders to be written, the chances are good that three or four would suffice. The distribution of a four-copy order form could well be as follows:

a. Original copy to vendor.

b. One copy for encumbering; thence to active numerical file of unfilled orders; to inactive numerical file when order is filled.

c. One copy to active alphabetical-by-vendor file; when bill is paid, to requisitioner. Price may be entered for reference.

d. One copy to requisitioner to be used as the receiving copy. When signed by the requisitioner and returned with the delivery slip, it shows that goods have been received and thereby furnishes a basis for payment of claim.

To simplify filing and identification, the four copies should be in four colors, for example: white, pink, yellow, and green.

It is a simple matter to increase the number of copies of the order form, and perhaps a reasonable use may be found for all copies authorized. However, it is much easier to add one additional copy than it is to reduce the number of copies. After once having an order copy, an individual or department only reluctantly relinquishes it, even though the need for the copy may be slight.

5. Order follow-up or expediter form. This may be a printed postcard or a printed form sent to vendor requesting information as to delivery date on order or orders already placed.

6. Receiving report may be one of the copies of the purchase order or a special form. The receiver's signature and date of receipt of goods are required on this copy before payment is authorized.

C. Purchasing Tips.

1. Timing purchases--the school district will benefit from prompt delivery and will avoid drop shipments and back orders by placing orders at times other than the suppliers' peak-load period. This peak of purchase activity for school equipment and supplies is usually from June through August.

2. Off-season purchases--it is generally good business practice to purchase seasonal goods in the off season: lawn mowers and garden equipment in the winter when factories face a slack period; snow shovels in the summer. Contracts for fuel oil may be awarded in the summer.

3. Packaging instructions--the relative advantages of the several methods of packing and delivery in terms of cost and convenience should be weighed. Shipment to a central point costs less than drop shipments to individual schools. However, unpacking and local delivery costs may offset the initial savings.

4. Formalizing procedures--by formalizing purchasing procedures and reducing procedural instructions to writing, associates and interested personnel will benefit.

5. Standard supply lists--these may include all commonly used standard items organized in groupings such as office, general classroom, art, science, custodial, health, etc. (See Appendix 12, page 77.)

6. Control--all requests for price, repair services, and purchases are to be made through the purchasing office.

7. Vendor calls--salesmen should be discouraged from making calls on teachers in schools or on maintenance employees without first clearing with the purchasing agent and building principal.

8. New information--the purchasing agent should strive constantly to increase his knowledge of new materials, services, sources, and processes and should suggest new items to interested personnel.

9. Objectivity--No favoritism should be extended to any vendors. All transactions should be on the basis of quality, price, delivery, and service.

10. Personal purchases--purchasing agents should not make personal purchases for staff personnel.

11. Contact with vendors--the purchasing agent should periodically visit vendors' plants or places of business to keep informed on new items, materials, and processes.

D. Sources of Purchasing Information. The following volumes and publications are appropriate to have available for reference purposes in any purchasing office.

1. Educational Periodicals:

American School & University, North American Publishing Co., 134 N. 13th Street, Philadelphia, Pa., 19107.

Nation's Schools, McGraw-Hill Publications, 1050 Merchandise Mart, Chicago, Illinois, 60654

School Management, Professional Magazines, Inc., 22 West Putnam Avenue, Greenwich, Conn., 06830.

2. Purchasing Periodicals:

Purchasing, (a national magazine of industrial purchasing) Conover-Mast Publications, 205 E. 42nd St., New York, New York, 10017.

Purchasing Week, McGraw-Hill Publishing Company, 330 West 42nd St., New York, New York.

3. Miscellaneous:

Thomas' Register of American Manufacturers, Thomas Publishing Company, 461 Eighth Avenue, New York, New York, 10001. Annually. (This is a complete list of manufacturers by product, by manufacturer's name, and by trade name.)

MacRae's Blue Book, MacRae's Blue Book Company, 100 Shore Dr., Hinsdale, Illinois, 60521. (Similar to Thomas' Register.)

Education Department Reports (Judicial Decisions of the Commissioner). (These reports contain rulings of the Commissioner of Education. They may be seen at most law libraries. Copies may be purchased from the New York State Education Department Publications Distribution Unit, Room 169, Education Building Annex, Albany, New York, 12224.)

Telephone Directory, Classified Section.

Consumers' Bulletin, Consumers' Research, Inc., Washington, New Jersey, 07882.

Consumer Reports, Consumers' Union, U.S., Inc.,
256 Washington St., Mt. Vernon, New York, 10550.

American Society for Testing and Materials, 1916 Race St.,
Philadelphia, Pa., 19103.

4. Reference Texts:

Purchasing, Heinritz, S.F.: Third Edition, Prentice-Hall, 1961, Englewood Cliffs, New Jersey, 07632.

Procurement, Principles, and Cases, Lewis, H.T.: R.D. Irwin, Inc., 1952, Homewood, Illinois, 60430.

Materials Handbook, an Encyclopedia for Purchasing Agents, Engineers, Executives, Foremen, Brady, G.S.: McGraw-Hill Book Co., 1971, 1221 Ave. of the Americas, New York, New York, 10020.

Industrial Purchasing--Principles and Practices, Colton, R.R.: Charles E. Merrill Books, Inc., 1962, Columbus, Ohio, 43200.

Business Management of Local School Systems, Knezevich, S.J. & Fowlkes, J.G.: Harper & Brothers, 1960, New York, New York, 10017.

Purchasing for Educational Institutions, Ritterskamp, J.J., Abbott, F.L., & Ahrens, B.C.: Bureau of Publications, 1961, Teachers College, Columbia University, New York, New York, 10025.

Purchasing and Supply Management for School Business Officials, Bulletin #22, 1962, Association of School Business Officials, 2424 W. Lawrence Avenue, Chicago, Illinois, 60625.

School Business Administration, Linn, H.H.: Ronald Press Co., 1956, 79 Madison Avenue, New York, New York, 10016.

Handbook on New York State Bidding Law, 1973, Mid-Hudson School Study Council, State University College, New Paltz, New York, 12561.

Purchasing Handbook, Aljian, G.W.: Second Edition, McGraw-Hill Book Co., 1966, 1221 Avenue of the Americas, New York, New York, 10020.

Governmental Purchasing, Forbes, R.: Harper & Brothers, 1929, New York, New York, 10017.

E. Professional Associations.

The purchasing official may benefit himself and his school district by direct contact with other officials in the same position and by active participation in associations interested in purchasing procedure. Organizations supported by New York State school district personnel are:

1. New York State Association of School Business Officials, Executive Secretary and Treasurer, P. O. Box 7303, Capitol Station, Albany, New York, 12224.

2. Association of School Business Officials of the United States and Canada, 2424 West Lawrence Avenue, Chicago, Illinois, 60625.

3. National Association of Purchasing Management, 11 Park Place, New York, New York, 10007.

4. National Institute of Governmental Purchasing, 1001 Connecticut Avenue, N. W., Washington, D. C., 20036.

F. Criteria for evaluating methods of procurement should be established by the purchasing agent. Some of these are as follows:

1. Are procedures as simple as possible?

2. Do they meet all legal requirements?

3. Do they provide sufficient records for efficient operation?

4. Are they as flexible as possible to meet changing conditions, requirements, and prices?

5. Are cost and inventory controls maintained?

6. Is the purchasing procedure economical?

7. Is budget control maintained?

8. Are the best interests and objectives of the educational program promoted by the supplies and equipment purchased under these procedures?

9. Are procedures rapid enough to prevent unnecessary supply shortages?

G. Good Public Relations. The purchasing agent is in an excellent position to promote good public relations through his business contacts. His reputation for fairness should:

1. Earn the respect of his associates.

2. Enhance the reputation of the board of education for ethical business procedures.

3. Merit the confidence of the public.

4. Result in good vendor relations.

In interviewing salesmen, the purchasing official should endeavor to:

1. Keep waiting time of salesmen to a minimum.

2. Give the salesmen a fair hearing.

3. Be frank--if product cannot be used, advise salesmen to that effect.

Purchasing locally may be a factor in good public relations. To what extent this can be carried on becomes a serious consideration. The following quotation is a very fair approach to the question and may be assumed to apply to a school district as well as to any other governmental agency or subdivision:

> "It is believed, however, that a government agency should award its orders on the same principle as a private corporation and should aim to secure the best quality and service per dollar of expenditure. A price differential in favor of local dealers, while returning to them a part of their taxes, may penalize the general taxpaying public. A government purchasing agent should secure as widespread competition as possible, and the local or state dealer should enjoy a preference, all other factors being equal, but not a price differential in his favor."[5]

H. Ethics of Purchasing. Although the purchasing practices listed herein are widely accepted, the final decisions remain largely a matter of personal judgment. These judgments are developed to a great extent through personal contacts and relationships. Through his conduct and dealings with vendors, the purchasing official reflects the school board's reputation for courtesy and fair dealing. The purchasing official must maintain a high ethical standard of conduct and a reputation that is above the suspicion of unethical behavior. Two organizations which have made statements of codes are the National Association of Educational Buyers (purchasing officials of colleges and universities) and the New York State Association of School Business Officials. The code for the latter is as follows:

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[5] Forbes, R., Governmental Purchasing, (New York: Harper & Brothers, 1929), pages 179-180.

CODE OF ETHICS FOR SCHOOL PURCHASING OFFICIALS[6]

1. To consider first the interests of the school district and the betterment of its educational program.

2. To endeavor to obtain the greatest value for every tax dollar expended.

3. To be receptive to advice and suggestions from colleagues,both in the educational field and in other departments of business administration, insofar as such advice and suggestions are not in conflict with legal or moral restrictions in purchasing procedures.

4. To strive for knowledge of school equipment and supplies in order to recommend items that may either reduce cost or increase the efficiency of the means of education.

5. To insist on and expect honesty in sales representation whether offered verbally or in writing, through the medium of advertising or in the sample of a product submitted.

6. To give all responsible bidders equal consideration and the assurance of unbiased judgment in determining whether their product meets specifications and the educational needs of the district.

7. To discourage the offer of, and to decline, gifts which in any way might influence the purchase of school equipment and supplies.

8. To accord a prompt and courteous reception, insofar as conditions permit, to all who call on legitimate business missions.

9. To counsel and assist fellow school purchasing officials in the performance of their duties whenever occasion permits.

10. To cooperate with educational, governmental, and trade associations in the promotion and development of sound business methods in the procurement of school equipment and supplies.

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[6] This code of ethics was formally adopted by the New York State Association of School Business Officials, May 26, 1954.

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APPENDIX 1

POSITION GUIDE FOR PURCHASING AGENT

General Statement of Duties:

The school district purchasing agent is responsible for the purchasing of all supplies, materials, equipment, and services for the school district and does related work as required.

Distinguishing Features of the Class:

This is a responsible administrative post involving the formulating of plans and policies and the development of purchasing procedures and forms to achieve efficient, economical, and timely procurement to meet the district's needs.

The work entails responsibility for the operation of the school district's central storage and distribution facilities, various service shops, and the delivery service where such exist.

He supervises purchasing clerical and technical personnel.

The purchasing agent works subject to the policies and administrative regulations of the board of education and is under the direct supervision of the school business administrator.

He establishes and maintains desirable relationships with vendors and company representatives.

Examples of Work:

Drafts and recommends to his immediate superior the general policies and procedures for handling purchases for the school district.

Confers with principals, directors, supervisors, department heads, and other appropriate personnel in their needs.

Directs the receiving, processing, routing, and filing of all approved requisitions.

Exercises leadership in the development and maintenance of standard supply lists.

Keeps abreast of current price trends, market conditions, and new and improved items of supply and service.

Maintains current information concerning sources of supply such as Surplus Property Administration, State Contracts, Industries for the Blind, Division of Industries of the Department of Correction, etc.

Interviews sales representatives.

Schedules purchases to assure that proper supplies, materials, equipment, and services are available where and when needed.

Prepares specifications and solicits informal quotations and formal bids.

Receives, opens, examines, and tabulates the results of quotations and bids according to procedures required by board policy and statutes.

Makes recommendations concerning bid awards to his immediate supervisor.

Maintains specification files and bidders' lists.

Checks on deliveries of supplies, materials, equipment, and services.

Maintains testing and quality control procedures.

Maintains inventories of consumable supplies and materials.

Initiates where appropriate, and participates in cooperative bidding/purchasing efforts.

Maintains the fixed assets inventory as required by the Uniform System of Accounts.

Supervises technical and clerical personnel assigned to the purchasing function.

Required Knowledges, Skills, and Abilities:

Extensive knowledge of supply markets, trade conditions, business methods, and purchasing practices in general.

Knowledge of the special nature of procuring supplies, materials, equipment, and services to meet educational needs.

Familiarity with current studies and literature in the field of educational, industrial, and governmental purchasing.

Knowledge of modern principles and practices of purchasing.

Comprehensive knowledge of business procedures, forms, and equipment.

Comprehensive knowledge of a wide variety of commodities.

Excellent knowledge of current practices in preparation of purchase specifications.

Strong personal integrity.

Sound professional judgment, initiative, and resourcefulness.

Ability to get along well with and to supervise others.

Skill in articulating and communicating the district's purchasing policies.

Ability to understand and follow complex oral and written directions.

Acceptable Training and Experience:

Completion of a course in a college or university for which a bachelor's degree has been granted, preferably in business administration, and/or five years' educational or business experience which included two years' related purchasing experience; or

Any satisfactory equivalent combination of the above experience and training which would indicate ability to perform acceptably the duties outlined.

APPENDIX 2

RESOLUTION APPOINTING PURCHASING AGENT

BE IT RESOLVED THAT____________________________is appointed "Purchasing Agent" for the Board of Education of _____________________________ School District, effective immediately, and until such time as the Board may revoke the appointment, and

BE IT FURTHER RESOLVED THAT_____________________________shall purchase, procure, store, and distribute all supplies and equipment for which appropriations have been made with due regard to existing law, economy and efficiency, and the needs and desires of the departments of the school requesting such supplies, and

BE IT FURTHER RESOLVED THAT____________________________be and hereby is authorized to execute in the name of the Board of Education any and all documents, contracts, orders or other instruments necessary to carry out the intent of this resolution.

____

Comment:

See page 3 for discussion of appointment of purchasing official.

APPENDIX 3

SUMMARY

NINE STEPS IN THE PROCUREMENT PROCEDURE

The following chart illustrates nine basic steps in the procurement process:

A. Requisition	Initiated by user. Sent to proper official for approval. Copy retained by school.
B. Specifications	Prepared in detail by purchasing agent and made available to prospective contractors or vendors.
C. Bids or Quotations	Checked and tabulated by purchasing agent. In the case of formal bids, recommendation made to the board of education.
D. Contract or Purchase Order	Contracts signed by designated board official; orders signed by purchasing agent.
E. Follow Up	By purchasing department only.
F. Receipt of Goods	Receiving agency signs receiving copy of purchase order and fowards same to purchasing department indicating the quantity and quality of materials or services have been received and are satisfactory.
G. Invoice	Checked for price and quantity by purchasing department.
H. Quality Control	By purchasing agent or designee to see that item meets specifications.
I. Claim (invoice) Approved for Payment	After receipt of goods is acknowledged by requisitioner, the purchasing agent attests to the correctness of the claim including verification that the supplies, equipment, or services conformed to specifications; thence to board of education or internal auditor for approval for payment.

APPENDIX 4

SAMPLE FORM FOR NEWSPAPER ADVERTISEMENT

To be printed in the ______________________________ issue(s)
(Date or dates)
of the ____.
(Name of newspaper)

* * * * * * * * * * *

ADVERTISEMENT

Sealed bids are requested by the ______________________________
School District for ____.
(Description)

Bids will be received until ____________, ________________ in
(time) (date)
the business office, 100 Main Street, Anytown, New York, at which time and place they will be publicly opened and read.

Specifications and bid forms may be obtained at the same office.

Board of Education
100 Main Street
Anytown, New York 10000

By________________________
(Title)

APPENDIX 5

(Page 1)

Sample Specification and Bid Form for Use in Competitive Purchasing

BOARD OF EDUCATION

________________ SCHOOL DISTRICT NO.____
(Legal name)
______________________________, NEW YORK

Popularly known as ______________________

* * * * * * *

SPECIFICATIONS AND BID FORM

FOR

Schedule No. ___________

____

* * * * * * *

In accordance with the provisions of Section 103 of the General Municipal Law, an advertisement for bids was published in the _____________________ on _______________, 19__. As stated in such notice, bids will be publicly opened and read in the office of____ on _______________, 19__ at ________ a.m./p.m.

* * * * * * *

Name of bidder:

Address of bidder:

Telephone number:

Ask for:

BOARD OF EDUCATION
______________________ SCHOOL DISTRICT NO. ___
______________________, NEW YORK

* * * *

INSTRUCTIONS TO BIDDERS

1. Sealed proposals for the furnishing and delivery, and installing, where called for, of the services, materials, equipment and/or supplies, as required by the board of education of ______________________ School District No.____, County of ________________, popularly known as ______________________, and as set forth in the following specifications prepared under the direction of said board of education, will be opened in the office of the (title of official), located at (complete mailing address), on the day and hour stated on page 1 hereof.

2. The person, firm, or corporation making such proposal shall submit it in a sealed envelope to the (title of official) or his duly designated representative at the place herein mentioned on or before the hour and day stated on page 1 hereof, and the envelope shall be endorsed on its face with the name of the person, firm, or corporation making such proposal, the date of its presentation, and the title of the services, materials, equipment, or supplies for which such proposal is made.

3. The bidder shall insert the price per stated unit and the extension against each item in the schedule hereto annexed, which he proposes to furnish and deliver. In the event of a discrepancy between the unit price and the extension, the unit price will govern. The price inserted must be net and must include delivery charges. Computation must be made of the total amount of the bid for all items bid upon, and the total shall be stated in the space provided at the end the schedule.

4. No charge will be allowed for cases, boxes, carboys, bottles, etc., nor for freight expenses, expressage, or cartage. No empty packages, cases, boxes, carboys, bottles, etc., will be returned to the bidder or contractor and none will be paid for by the board of education. Such empty cases, boxes, etc. may be removed by the bidder or contractor at his own expense.

(Page 3)

5. No charge will be allowed for federal, state, or municipal sales and excise taxes, from which the board of education is exempt. The price bid shall be net and shall not include the amount of any such tax. Exemption certificates, if required, will be furnished on forms provided by the bidder.

6. When a catalog reference follows the description of an item, such catalog reference is intended as a means of more fully describing the item in the shortest possible space and is to be regarded as part of the description of the item. All catalogs to which reference is made are available at the office of the (title of official). The use of such catalog or catalog names or numbers is not intended to limit competition.

7. Unless the schedule contains a complete specification, items listed in the schedule must be equal to the sample on exhibition in the office of the (title of official). Items delivered by successful bidder must be equal in all respects to the sample or those referred to by catalog number. If the bidder proposes to furnish a substitute for the item called for on an "or equal or approved" basis, the determination of whether it is the equal shall be by the board of education.

8. No bid will be considered unless it is accompanied by a bid deposit of not less than $_______ or ____ percent of the total amount of the bid. Such bid deposit shall consist of a certified check drawn upon a state or national bank or trust company or a check of such bank or trust company signed by a duly authorized officer thereof, drawn to the order of the board of education, (legal name and address of the district). The bid deposit shall be enclosed in a sealed envelope within the envelope containing the proposal. Receipt for the bid deposit will not be given, as bids will be publicly opened and read, and the amounts of bid deposits publicly announced at such time.

9. Each bidder must state that no member of the board of education, ___________________________________ School District No.____, town(s) of _____________________________, nor any officer or employee thereof, is directly or indirectly interested in the proposal.

10. The board of education reserves the right to accept this bid by items or as a whole, or, in its discretion, to reject all bids and readvertise in the manner provided by Section 103 of the General Municipal Law.

11. Bid deposits will be returned to unsuccessful bidders within ____ days after the awarding of the contract. The board of education, in its discretion, may require the successful bidder to furnish a performance bond upon receipt of which his bid deposit will be returned.

12. Delivery will be required to be made to the receiving platform of __(identification of delivery point)__ unless the schedule or purchase order issued to the successful bidder thereon indicates otherwise. Where the schedule or purchase order provides for direct delivery to schools, the items must be placed at a point within the building as directed at the place of delivery. The weight, count, measure, etc., will be determined at the points of delivery. The contractor will be required to furnish proof of delivery in every instance. Bulk materials are to be placed on skids or pallets on the receiving platform as directed by the receiving clerk. Mixed loads of more than one item, color, size, etc., must be sorted when directed by the receiving clerk. No help for unloading will be provided by the board of education. Suppliers should notify their truckers accordingly. Deliveries shall be made between the hours of ______a.m. and ______p.m. on weekdays other than Saturdays and holidays. All materials and supplies must be securely packaged in uniform containers, adequately marked as to contents, and delivered without damage or breakage in such units as are specified in the schedule.

13. These instructions are to be considered an integral part of all proposals.

Board of Education
(complete legal name) School Dist. No.
__________________________, New York
__________________________(Position)

Dated: ____________________, 19___.

APPENDIX 5

(Page 5)

BOARD OF EDUCATION

________________________SCHOOL DISTRICT NO. ____

_____________________________, NEW YORK

BID FORM AND SPECIFICATIONS

Schedule 4:2

FUEL OIL

Item No.	Unit	Description	Approx. Quantity	Unit Price	Total
1	Gals.	No. 2 fuel oil	10,000		
2	Gals.	No. 4 fuel oil	370,000		
3	Gals.	No. 6 fuel oil	460,000		

Oil Burner Service, __________, 19__ to ___________, 19__.

	School	Type	No. of Burners	Fuel	Tank Capacity
4	Washington	Todds	2	6 & 2	15,000
5	Lincoln	Petro	3	6	25,000
6	Roosevelt	Iron Fireman	3	4	13,400
7	Truman	Enterprise	2	4	
		Todds	2	4	21,700
8	Dewey	Petro	1	4	5,000
9	Southside	Petro	2	4	20,000
10	Lakeside	Petro	3	6 & 2	15,000
11	Memorial	Todds	2	4	15,000
12	De Witt	Todds	3	6	No Service

(Note: No. 2 oil used in preheaters only) __________

Total Bid __________

Deliveries are to be made during the year beginning July 1, 19____, at such times and in such amounts as requested. Quantities given are not intended to commit the board of education to any particular quantity but are merely estimates of what might be required.

Oil burner service, in the discretion of the board of education, shall be awarded only to the successful bidder on the oil to be used in burner or burners to be serviced, and such service shall include:

1. Complete cleaning of burner or burners within five days after award.
2. Periodic inspection at intervals of time no less frequent than monthly.
3. Commercial repairman shall be available twenty-four hours per day to answer emergency calls.
4. Replacement part costing in excess of $5.00 shall be furnished only after approval by the superintendent of buildings and grounds or his duly authorized representative.
5. Price bid is intended to cover all service costs except the cost of authorized replacement parts.

APPENDIX 5

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TYPICAL DESCRIPTION OF A WORK AND MATERIALS SPECIFICATION

PRINTING AND BINDING MUSIC NOTEBOOK

SCHEDULE OF QUANTITY

It is the declared and acknowledged intention of these specifications to describe the printing and binding of 11,000 copies of a Music Notebook to be issued by the Board of Education for 1972-73.

EDITION

The size of the Music Notebook is to be 8" x 10½", trimmed pages and covers, with a total of 36 pages and covers.

Sample of the 1971-72 Music Notebook showing papers used, layout, and engravings is on file in the Office of the Purchasing Agent.

STOCK

The paper stock, to be furnished by the successful bidder, shall consist of three different papers, as follows:

1. For the thirty-two (32) inside pages, Suede Book Wove Antique White, 35 x 45, 166/M, or approved equivalent.

2. For the four (4) pages inside cover (first and last leaf other than cover itself), White Printflex Enamel #2, 35 x 45, 232/M, or approved equivalent. This paper shall be suitable for half-tone work.

3. For the cover itself (4 pages), White 3-ply Dilcol Translucent Cover Stock, 23 x 35, 310/M, or approved equivalent.

COMPOSITION

Throughout the 1972-73 Music Notebook, layout of which will be furnished by the Purchasing Agent of the Board of Education, the style headings, the size and weight of type, and the layout of text and musical titles shall be essentially the same as in the 1971-72 Music Notebook. If the bidder proposes to use any other type than that indicated, he shall submit to the Purchasing Agent for approval a sample showing the type he proposes to furnish.

ENGRAVINGS

Color plates, black and one color for the outside cover will be furnished by the Board of Education as will also all other half-tones used in the 1972-73 Notebook and all the cuts of music themes as indicated in the layout. The front outside of the cover shall be printed in black and one color to match a color sample on file in the office of the Purchasing Agent. Bleed cover to bottom and right.

PRESS WORK

Black and one color on front cover, balance black only. Press work shall be satisfactory to the Board of Education, conforming to all good trade practices. Ink on music themes to be dense black.

BINDING

Binding shall be saddle wire stitched with two stitches and trimmed flush.

PROOF READING

The Board of Education will assume the responsibility of proof reading for all corrections to be made from the original copy. The succesful bidder has the responsibility of reading a press proof to determine that it corresponds with the Board of Education's copy and such proof reading is to be included in the bid price.

PROOFS

Two proofs shall be furnished by the successful bidder: one page proof and one page revised.

EDITOR'S CORRECTIONS

Bidders shall plainly indicate on the Proposal and Bidding Sheet the charges per hour for changes in proof that alter the original copy of the text. The successful bidder shall itemize all such changes and shall submit statement substantiating such bill before payment will be approved.

STANDING TYPE

All type for Music Notebooks shall remain standing for a period of at least three months after delivery of the Music Notebooks has been completed and notice shall be given the Board of Education by the successful bidder at least thirty days before the type is distributed.

BASE BID

Bidders are requested to quote, under BASE BID, the Total Net Delivered Price for 11,000 copies of a 36-page Music Notebook, and to indicate the price for additional copies per thousand over and above the 11,000.

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ALTERNATE

The bidder is requested to fill out on the Proposal and Bidding Sheet the alternate as called for below as the contract may be awarded on the alternate.

ALTERNATE: The bidder is requested to bid on a 32-page Music Notebook, all specifications to be the same as for the Base Bid with the exception of the number of pages. In the event that the size of the book is decreased to 32 pages, the Board will award the contract on this alternate.

APPENDIX 5
(Page 10)

BID PROPOSAL CERTIFICATIONS

Firm Name ....

Business Address ....

Telephone Number...Date of Bid.......................................

I. General Bid Certification

The bidder certifies that he will furnish, at the prices herein quoted, the materials, equipment and/or services as proposed on this bid.

II. Non-Collusive Bidding Certification

By submission of this bid proposal, the bidder certifies that he is complying with Section 103-d of the General Municipal Law as follows:

Statement of non-collusion in bids and proposals to political subdivision of the state. Every bid or proposal hereafter made to a political subdivision of the state or any public department, agency or official thereof where competitive bidding is required by statute, rule, regulation, or local law, for work or services performed or to be performed or goods sold or to be sold, shall contain the following statement subscribed by the bidder and affirmed by such bidder as true under the penalties of perjury: Non-collusive bidding certification.

"(a) By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that to the best of knowledge and belief:

(1) The prices in this bid have been arrived at independently without collusion, consultation, communication or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other bidder or with any competitor;

(2) Unless otherwise required by law, the prices which have been quoted in this bid have not been knowingly disclosed by the bidder and will not knowingly be disclosed by the bidder prior to opening, directly or indirectly, to any other bidder or to any competitor; and

(3) No attempt has been made or will be made by the bidder to induce any other person, partnership or corporation to submit or not to submit a bid for the purpose of restricting competition."

(b) A bid shall not be considered for award nor shall any award be made where (a) (1) (2) and (3) above have not been complied with; provided, however, that if in any case the bidder cannot make the foregoing certification, the bidder shall so state and shall furnish with the bid a signed statement which sets forth in detail the reasons therefor. Where (a) (1) (2) and (3) above have not been complied with, the bid shall not be considered for award nor shall any award be made unless the head of the purchasing unit of the political subdivision, public department, agency or official thereof to which the bid is made, or his designee, determines that such disclosure was not made for the purpose of restricting competition.

The fact that a bidder (a) has published price lists, rates, or tariffs covering items being procured, (b) has informed prospective customers of proposed or pending publication of new or revised price lists for such items, or (c) has sold the same items to other customers at the same prices being bid, does not constitute, without more, a disclosure within the meaning subparagraph one (a).

2. Any bid hereafter made to any political subdivision of the state or any public department, agency or official thereof by a corporate bidder for work or services performed or to be performed or goods sold or to be sold, where competitive bidding is required by statute, rule, regulation, or local law, and where such bid contains the certification referred to in subdivision one of the section, shall be deemed to have been authorized by the board of directors of the bidder, and such authorization shall be deemed to include the signing and submission of the bid and the inclusion therein of the certificate as to non-collusion as the act and deed of the corporation.

Signature (Authorized) ....

Title ....

Note: This is a sample of an approved form which may be reproduced locally.

APPENDIX 6
(Page 1)

(NAME AND ADDRESS OF SCHOOL DISTRICT)

GENERAL CONDITIONS

(For the purchase of materials, supplies, and equipment)

All invitations to bid issued by the above named school district will bind bidders and successful bidders to the conditions and requirements set forth in these general conditions, and such conditions shall form an integral part of each purchase contract awarded by the school district.

DEFINITIONS

"School district" — Shall be the legal designation of the district.

"Notice to bidders" — a formal statement which, when issued by the school district, constitutes an invitation to bid on the materials, supplies, and equipment described by the specifications.

"Board" — the board of education of the school district.

"Bid" — an offer to furnish materials, supplies, and/or equipment in accordance with the invitation to bid, the general conditions, special instructions, and the specifications.

"Bid offer" — the form on which the bidder submits his bid.

"Bidder" — any individual, company, or corporation submitting a bid.

"Contract" — a notice to the successful bidder by the issuance of a purchase order; also all documents relating to the transaction, including but not limited to, the bid offer of the successful bidder, notice to bidders, general information, general conditions, special instructions, specifications, notice of award, bid proposal certifications; also a formal document signed by the successful bidder and the school district representative.

"Successful bidder" — any bidder to whom an award is made by the school district.

"Contractor" — any bidder to whom a contract award is made by the board of education.

"Specification" — description of materials, supplies, and/or equipment and the conditions for its purchase.

BIDS

1. The date, time, and place of bid opening will be given in the Notice to Bidders.

2. All bids must be submitted on bid offer forms and in accordance with instructions provided by the board.

3. All bids received after the time stated in the Notice to Bidders may not be considered and will be returned unopened to the bidder. The bidder assumes the risk of any delay in the mail or in the handling of the mail by employees of the school district. Whether sent by mail or by means of personal delivery, the bidder assumes responsibility for having his bid deposited on time at the place specified.

4. All information required by Notice to Bidders, General Conditions, Specifications, and Bid Offer, in connection with each item against which a bid is submitted, must be given to constitute a regular bid.

5. The noncollusive bidding certification must be included with each bid as required by General Municipal Law, section 103-d.

6. The submission of a bid will be construed to mean that the bidder is fully informed as to the extent and character of the supplies, materials, or equipment required and a representation that the bidder can furnish the supplies, materials, or equipment satisfactorily in complete compliance with the specifications.

7. No alteration, erasure, or addition is to be made in the typewritten or printed matter. Deviations from the specifications must be set forth in space provided in bid for this purpose.

8. Prices and information required should be typewritten for legibility. Illegible or vague bids may be rejected. All signatures must be written. Facsimile, printed, or typewritten signatures are not acceptable.

9. Sales to school districts are not affected by any fair trade agreements. (**General Business Law**, sec. 369-a, sub. 3)

10. No charge will be allowed for Federal, State, or municipal sales and excise taxes since the school district is exempt from such taxes. The price bid shall be net and shall not include the amount of any such tax.

11. In all specifications, the words "or equal" are understood after each article giving manufacturer's name or catalog reference, or on any patented article. The decision of the school district as to whether an alternate or substitution is in fact "equal" shall be final. If bidding on items other than those specified, bidder must in every instance give the trade designation of the article, manufacturer's name, and detailed specifications of item he proposes to furnish. Otherwise, bid will be construed as submitted on the identical item as specified.

12. Bids on equipment must be on standard new equipment, of latest model, and in current production, unless otherwise specified.

13. All regularly manufactured stock electrical items must bear the label of the Underwriters' Laboratories, Inc.

14. When bids are requested on a lump sum basis, bidder must bid on each item in the lump sum group. A bidder desiring to bid "no charge" on an item in a group must so indicate; otherwise bid for the group may be rejected.

15. All prices quoted must be "per unit" as specified; e.g., do not quote "per case" when "per dozen" is requested; otherwise, bid may be rejected.

16. Bidder must insert the price per unit and the extensions against each item in his bid. In the event of a discrepancy between the unit price and the extension, the unit price will govern. Prices shall be extended in decimals, not fractions.

17. Prices shall be net, including transportation and delivery charges fully prepaid by the successful bidder to destination indicated in the instructions to bidders. If award is made on any other basis, transportation charges must be prepaid by the successful bidder and added to the invoice as a separate item. In any case, title shall not pass until items have been delivered and accepted.

18. All bids must be sealed. They must be submitted in envelopes furnished by the school district, if any. Otherwise, plain, opaque envelopes may be used, clearly marked "BID." Also the date and time of the bid opening as indicated on the Notice to Bidders must appear on the envelope. Bids must not be attached to or enclosed in packages containing bid samples. Telegraphed bids may be considered at the discretion of the school district. Telephoned quotations or amendments will not be accepted at any time.

19. No interpretation of the meaning of the specifications or other contract document will be made to any bidder orally. Every request for such interpretation should be in writing, addressed to the school district, not later than five (5) days prior to the date fixed for the opening of bids. Notice of any and all such interpretations and any supplemental instructions will be sent to all bidders of record by the school district in the form of addenda to the specifications. All addenda so issued shall become a part of the contract documents.

20. If the supplies, materials, or equipment are to be delivered over an extended period of time, or if the specifications so state, then the successful bidder may be required to execute an agreement in relation to the performance of his contract, such agreement to be executed by the bidder within 15 days after notification to execute such contract. If the specifications so state, the successful bidder also may be required to furnish a performance bond equal to the full amount of the contract to guarantee the faithful performance of such contract. Such performance bond shall be maintained in full force and effect until the contract shall have been fully performed. The surety company furnishing such performance bond shall be authorized to do business in the State of New York and must be satisfactory to the school district. The performance bond shall be executed by the successful bidder at the time of the execution of the contract by the successful bidder and the board.

SAMPLES

21. All specifications are minimum standards; and accepted bid samples do not supersede specification for quality unless bid sample is superior, in which case deliveries must be the same identity and quality as accepted bid sample.

22. The school district reserves the right to request a representative sample of the item quoted upon either prior to the award or before shipments are made. If the sample is not in accordance with the requirements of the specification, the school district may reject the bid; or, if award has been made, cancel the contract at the expense of the successful bidder.

23. Samples, when required, must be submitted strictly in accordance with instructions; otherwise, bid may not be considered. If samples are requested subsequent to bid opening, they shall be delivered as directed for bid to have consideration. Samples must be furnished free of charge and must be accompanied by descriptive memorandum invoices indicating if the bidder desires their return and specifying the address to which they are to be returned provided they have not been used or made useless by tests. Award samples may be held for comparison with deliveries. The school district will not be responsible for any samples destroyed or mutilated by examination or testing. Samples shall be removed by the bidder at his expense. Samples not removed within fifteen (15) days after written notice to the bidder will be regarded as abandoned and the school district shall have the right to dispose of them as its own property.

24. When a specification indicates that an item to be purchased is to be equal to a sample, such sample will be on display at a designated location in the school district. Failure on the part of the bidder to examine sample shall not entitle him to any relief from the conditions imposed in the proposal, specification, etc.

AWARD

25. Awards will be made to the lowest responsible bidder, as will best promote the public interest, taking into consideration the reliability of the bidder, the quality of the materials, equipment, or supplies to be furnished, their conformity with the specifications, the purposes for which required, and the terms of delivery.

26. The school district reserves the right to reject all bids. Also reserved is the right to reject, for cause, any bid in whole or in part; to waive technical defects; qualifications; irregularities; and omissions if in its judgment the best interests of the district will be served. Also reserved is the right to reject bids and to purchase items on State or county contracts if such items can be obtained on the same terms, conditions, specifications, and at a lower price.

27. The school district reserves the right to make awards within sixty (60) days after the date of the bid opening during which period bids may not be withdrawn unless the bidder distinctly states in his bid that acceptance thereof must be made within a shorter specified time.

28. Where a bidder is requested to submit a bid on individual items and also on a total sum or sums, the right is reserved to award contracts on individual items or on total sums, whichever is in the best interests of the school district.

29. If two or more bidders submit identical bids as to price, the decision of the board to award a contract to one of such identical bidders shall be final. (General Municipal Law, sec. 103, sub. 1.)

CONTRACT

30. Each bid will be received with the understanding that the acceptance thereof in writing by the board, to furnish any or all of the items described therein shall constitute a contract between the successful bidder and the school district. Contract shall bind the successful bidder on his part to furnish and deliver at the prices and in accordance with the conditions of his bid. Contract shall bind the school district on its part to order from such successful bidder and to pay for at the contract prices, all items ordered and delivered, within ten (10) percent over or under the award quantity, unless otherwise specified.

31. The placing in the mail of a notice of award or purchase order to a successful bidder, to the address given in his bid, will be considered sufficient notice of acceptance of contract.

32. If the successful bidder fails to deliver as ordered, or within the time specified, or within reasonable time as interpreted by the school district, or fails to make replacement of rejected articles, when so requested immediately or as directed by the school district, the school district may purchase from other sources to take the place of the item rejected or not delivered. The school district reserves the right to authorize immediate purchase from other sources against rejections on any contract when necessary. On all such purchases the successful bidder agrees to reimburse the school district promptly for excess costs occasioned by such purchases. Should the cost be less, the successful bidder shall have no claim to the difference. Such purchases will be deducted from contract quantity.

33. A contract may be canceled at the successful bidder's expense upon nonperformance of contract.

34. Cancellation of contract for any reason may result in removal of the successful bidder's name from mailing list for future proposals for an indeterminate period.

35. When materials, equipment, or supplies are rejected, they must be removed by the successful bidder from the premises of the school district within ten (10) days of notification. Rejected items left longer than ten (10) days will be regarded as abandoned, and the school district shall have the right to dispose of them as its own property.

36. No items are to be shipped or delivered until receipt of an official purchase order from the school district.

37. It is mutually understood and agreed that the successful bidder shall not assign, transfer, convey, sublet, or otherwise dispose of the contract or his right, title, or interest therein, or his power to execute such contract, to any other person, company, or corporation, without the previous written consent of the school district.

INSTALLATION OF EQUIPMENT

38. The successful bidder shall clean up and remove all debris and rubbish resulting from his work from time to time as required or directed. Upon completion of the work the premises shall be left in a neat, unobstructed condition, and the buildings broom cleaned, and everything in perfect repair and order. Old materials are the property of the successful bidder unless otherwise specified.

39. Equipment, supplies, and materials shall be stored at the site only on the approval of the school district and at the successful bidder's risk. In general, such on-site storage should be avoided to prevent possible damage or loss of the material.

40. Work shall be progressed so as to cause the least inconvenience to the school district and with proper consideration for the rights of other successful bidders or workmen. The successful bidder shall keep in touch with the entire operation and install his work promptly.

41. Bidders shall acquaint themselves with conditions to be found at the site and shall assume all responsibility for placing and installing the equipment in the locations required.

42. Equipment for trade-in shall be dismantled by the successful bidder and removed at his expense. The condition of the trade-in equipment at the time it is turned over to the successful bidder shall be the same as covered in the specifications, except as affected by normal wear and tear from use up to the time of trade-in. All equipment is represented simply "as is." Equipment is available for inspection only at the delivery point listed for new equipment, unless otherwise specified.

GUARANTEES BY THE SUCCESSFUL BIDDER

43. The successful bidder guarantees:

(a) His products against defective material or workmanship and to repair or replace any damages or marring occasioned in transit.

(b) To furnish adequate protection from damage for all work and to repair damages of any kind for which he or his workmen are responsible, to the building or equipment, to his own work, or to the work of other successful bidders.

(c) To carry adequate insurance to protect the school district from loss in case of accident, fire, theft, etc.

(d) That all deliveries will be equal to the accepted bid sample.

(e) That the equipment delivered is standard, new, latest model of regular stock product or as required by the specifications; also that no attachment or part has been substituted or applied contrary to manufacturer's recommendations and standard practice. Every unit delivered must be guaranteed against faulty material and workmanship for a period of at least one year from date of delivery. If during this period such faults develop, the successful bidder agrees to replace the unit or the part affected without cost to the school district.

Any merchandise provided under the contract which is or becomes defective during the guarantee period shall be replaced by the successful bidder free of charge with the specific understanding that all replacements shall carry the same guarantee as the original equipment. The successful bidder shall make any such replacement immediately upon receiving notice from the school district.

DELIVERY

44. Delivery must be made in accordance with the instructions to bidders and specifications. If delivery instructions do not appear on order, it will be interpreted to mean prompt delivery. The decision of the school district as to reasonable compliance with delivery terms shall be final.

45. The school district will not accept any deliveries on Saturdays, Sundays, or legal holidays, except commodities required for daily consumption or where the delivery is for an emergency.

46. Items shall be securely and properly packed for shipment, storage, and stocking in shipping containers and according to accepted commercial practice, without extra charge for packing cases, baling, or sacks.

47. The successful bidder shall be responsible for delivery of items in good condition at point of destination. He shall file with the carrier all claims for breakage, imperfections, and other losses, which will be deducted from invoices. The receiving school district will note for the benefit of successful bidder when packages are not received in good condition.

48. Unless otherwise stated in the specifications, all items must be delivered into and placed at a point within the building as directed by the shipping instructions or the agent for the school district. The successful bidder will be required to furnish proof of delivery in every instance.

49. Unloading and placing of the equipment and furniture is the responsibility of the successful bidder, and the school district accepts no responsibility for unloading and placing of equipment. Any costs incurred due to the failure of the successful bidder to comply with this requirement will be charged to him. No help for unloading will be provided by the school district, and suppliers should notify their truckers accordingly.

50. All deliveries shall be accompanied by delivery tickets or packing slips. Ticket shall contain the following information for each item delivered:

Contract Number and/or Purchase Order Number

Name of Article

Item Number (if applicable)

Quantity

Name of the Successful Bidder

Carton shall be labelled with purchase order or contract number, successful bidder's name and general statement of contents. Failure to comply with this condition shall be considered sufficient reason for refusal to accept the goods.

PAYMENTS

51. Payment for the used portion of an inferior delivery will be made by the school district on an adjusted price basis.

52. Payment will be made only after correct presentation of claim forms or invoices as may be required.

53. Payments of any claim shall not preclude the school district from making claim for adjustment on any item found not to have been in accordance with the contract specifications.

SAVING CLAUSE

54. The successful bidder shall not be held responsible for any losses resulting if the fulfillment of the terms of the contract shall be delayed or prevented by wars, acts of public enemies, strikes, fires, floods, acts of God, or for any other acts not within the control of the successful bidder and which by the exercise of reasonable diligence he is unable to prevent.

Date of Adoption by Board of Education ______________________

Note: A noncollusive bidding certification must be submitted with each bid. The enclosed form, " Bid Proposal Certifications," meets this requirement.

Rev. 8/73

APPENDIX 7

HARBOR CENTRAL SCHOOL
HARBOR, NEW YORK 12305

NO:

REQUISITION

Date: ____________________

School: ____________________

Budget Code: ____________________

Dept. and Originator: ____________________

Suggested Supplier: ____________________

____

Delivery Instructions: ____________________

____

BUSINESS OFFICE ONLY

P.O. Number ____________________

Approved ____________________

Quantity and Unit	Catalog Number	Complete Description	Unit Price	Total Price

Comment:

Purchase requisitions are generally initiated by a school or department to cover requirements needed during the school year and which would be purchased from a supplier. Requisitions should be made out in duplicate:

1. Original sent to purchasing office for processing.
2. Duplicate retained in initiating school or department.

See page 7 - Processing requisition.
See page 41 - Purchasing Forms--requisitions.
See page 43 - Requisition for direct purchase.

TOTAL

	Signature	Date
Approved By		
Approved By		
Approved By		

BOARD OF EDUCATION

________, N. Y.

BUILDING REQUISITION

No. ....
(Central Office Record Only)

PROCEDURE

1. Send this requisition to Purchasing Department.
2. Purchasing Department to refer directly to Department of Buildings.
3. Use separate requisition for each unrelated item.
4. Retain copy for school files.

WHEN TO USE

1. For all requests for repairs to buildings, grounds, building and instructional equipment, except office equipment and business machines. No purchase requisition need accompany building requisition in these cases.
2. For all requests for installation of instructional equipment that fastens to building or connects with mechanical services such as steam, gas, electricity or sewerage. Instructional equipment only to be requisitioned on an accompanying purchase requisition.
3. For technical services in connection with planning and equipment for clearances on area, load, mechanical and safety conditions.
4. For any proposed change in room occupancy; also opening and closing of rooms.
5. For approval to connect with electric system or plug into electric receptacles any piece of equipment not owned by the Board of Education or not previously inspected and approved by the Department of Buildings.

....
Date

....
School

....
Department or Shop

....
Requisition initiated by

....
Approved—Principal or Directing Head

Item	Maintenance—M Replacement—R New—N	NATURE OF WORK	Urgent—U Necessary—N Desirable—D

APPENDIX 8

BUILDING REQUISITION

Comment:

A building requisition form is used when repairs to buildings are to be made, services are to be connected, or equipment which fastens to building is to be installed. Requisition is made in triplicate.

1. Original sent to purchasing office.
2. Duplicate sent to buildings and grounds department.
3. Copy retained at school or in the originating department.

See page 43 - Requisition for maintenance, repair, and installation.

INSPECTOR: This space for comment and sketches

Estimated Cost			Estimator	Contractor
Construction				
Mechanical				
Miscellaneous				
TOTAL				

Estimated Cost of Equipment

Estimated Cost of Installation

Estimated Total Cost

Approval of items involving Educational Policy

Date ________ Superintendent of Schools

Date received in Purchasing Department

Date received in Building Department

Referred To	Date	Returned

ORDER No. ________

Character of Expenditure ________

Disposition: ________

Date ________ Superintendent of School Buildings

BOARD OF EDUCATION

Serial No. ____________ Reserved for Central Office

Date

School

Department, Shop, or Unit

Requisitioner

Signature of Principal or Directing Head

Packed by ____________

Package No ____________

____________, N. Y.

WAREHOUSE REQUISITION

For Special OK. refer to ____________

Quantity Charged To Unit	New or Replace	Quantity	ITEMS AND DESCRIPTION	Price

APPENDIX 9

Comment:

The warehouse requisition is used in a school system having such a central supply facility:

1. Original and one copy sent to business office. Upon approval, duplicate copy is sent to warehouse for filling of order and is then used as packing slip for delivery.
2. Third copy retained at school initiating requisition.

See page 43 - Requisition from warehouse stock

Received

Referred to	Date Sent	Date Returned

Approved by

1.

2.

3.

APPENDIX 10

QUOTATION FORM

TO

TO

TO

RETURN TO

PURCHASING AGENT
BOARD OF EDUCATION
CENTRAL SCHOOL
MAIN STREET
NEW YORK

REQUEST FOR QUOTATION

THIS IS NOT AN ORDER

DATE ISSUED	QUOTATION DUE BY	DEL. REQ. BY

ITEM NO.	QUANTITY	DESCRIPTION	UNIT PRICE	AMOUNT

Comment :

This form is made out in the purchasing office and sent to vendors to obtain prices on items specified. It is a four-part form with copies staggered. Typing on the original registers three different vendors' names on each of the three carbons. No vendor is aware of the names of the others. It permits the vendor to fill out the form indicating what he proposes to furnish and the price. On receipt of the various quotations covering the transaction, a summary may be made for use of the purchasing official.

See page 8 - Requesting bids or quotations.
See page 56 - Nine steps in the procurement procedure.
See page 9 - Quotation sheets for informal bids.

VENDOR PLEASE COMPLETE THIS INFORMATION

1. SHIPMENT CAN BE MADE ______ DAYS FROM RECEIPT OF ORDER.
2. F.O.B. ______
3. TERMS ______
4. DATE ______

BY ______

______
PURCHASING AGENT

FORM 96 0017

APPENDIX 11

HARBOR CENTRAL SCHOOL
HARBOR, NEW YORK 12305

NO. 1 VENDOR COPY

PURCHASE ORDER

NO. 536710

To:

Date:

Requisition No.:

Budget Code:

Deliver To:

Date Required:

Quantity	Unit	Description	Unit Price	Total Cost
		TOTAL		

CONDITIONS OF PURCHASE – READ CAREFULLY

1. Invoice and packages must bear purchase order number.
2. Each shipment should be covered by a separate invoice.
3. Ship prepaid F.O.B. destination, inside delivery.
4. If price is stated in order, billing must not bear a higher price.
5. Acceptance of this order indicates acceptance of all terms, prices, delivery instructions, specifications and conditions stated.

If shipment cannot be made as requested **NOTIFY US AT ONCE**

Purchasing Agent

HARBOR CENTRAL SCHOOL
HARBOR, NEW YORK 12305

NO. 2 ACCOUNTING COPY

PURCHASE ORDER

NO. 536710

To:

Date:

Requisition No.:

Budget Code:

Deliver To:

Date Required:

Quantity	Unit	Description	Unit Price	Total Cost
		TOTAL		

Purchasing Agent

HARBOR CENTRAL SCHOOL
HARBOR, NEW YORK 12305

NO. 3 PURCHASING COPY

PURCHASE ORDER

NO. 536710

To:

Date:

Requisition No.:

Budget Code:

Deliver To:

Date Required:

Quantity	Unit	Description	Unit Price	Total Cost
		TOTAL		

Purchasing Agent

HARBOR CENTRAL SCHOOL
HARBOR, NEW YORK 12305

NO. 4 RECEIVING COPY

PURCHASE ORDER

NO. 536710

To:

Date:

Requisition No.:

Budget Code:

Deliver To:

Date Required:

Quantity	Unit	Description	Unit Price	Total Cost
		TOTAL		

Name of Receiver:

Date of Receipt:

Condition of Shipment:

Purchasing Agent

UPON RECEIPT OF ORDER RETURN THIS COPY TO BUSINESS OFFICE IMMEDIATELY

APPENDIX 12

(Page 1)

STANDARD LIST OF SUPPLIES

The following information, along with the accompanying sample standard list of general office and classroom supplies, is presented to encourage school administration to develop such lists and encourage the use thereof.

DEFINITION:

A standard list of supplies is a grouping of similar items most commonly used and for which a standard of quality has been established.

PURPOSE:

The purpose of a standard list is to facilitate budgeting, requisitioning, purchasing, and, through standardization, to accomplish economies.

CHARACTERISTICS:

1. Items are only those most commonly used.

2. Items are grouped by similar commodities to facilitate requisitioning.

3. Items indicate a standard of quality by brand name or detailed specification.

4. Items are listed with estimated costs as guides for use of the person making the requisition.

5. Each item has the required unit (e.g., each, dozen, gross) to be used.

DEVELOPMENT:

1. To be most effective, standard lists should be prepared as a joint effort of the teachers, supervisory personnel, and the administrator handling the purchasing for the district.

2. The first step is to list all of the supplies in a particular area of instruction (art, general classroom, science, etc.) which have been purchased over the past several years, particularly those items which are usually repeated year after year. A suggested technique is to write each item on a separate card.

3. Each item should be briefly described, giving brand name and catalog number. Several acceptable brand names may be listed.

4. Insert the common purchasing unit to be used and the last price paid for the item. Standard packaging units should be used whenever possible.

5. Standard list item numbers may be assigned for future identification and easy reference. A different series of numbers are usually assigned for each list prepared.

6. Items are normally listed alphabetically by major descriptive words such as "BASKETS, metal waste."

7. The lists are used primarily for requisitioning the bulk of the annual budget requirements, but are also a reference in requisitioning needs throughout the year.

8. Lists should be revised annually to include adjustments in prices, changes in descriptions, addition and deletion of items.

ADVANTAGES:

1. Facilitates all phases of the requisitioning and purchasing process. It reduces the number of hours spent by teachers, clerical assistants, and administrators in preparing requisitions, bids, bid tabulating forms, and ultimately in the receipt and distribution of materials.

2. Standardization can result in dollar savings to the school district.

3. The process of developing a standard list becomes a focal point for encouraging acceptance of standardization for those items which lend themselves to this process.

4. Standardization encourages greater participation in competitive bidding by simplifying and grouping bid items.

5. The standard list acts as a reminder of items which may be overlooked by the person making the requisition.

DISADVANTAGES

1. Initial work of preparing a standard list is time consuming but will ultimately be a time saver.

2. It may encourage indiscriminate requisitions by some.

3. Unless provision is made for requisitioning items not on the standard list, it tends to inhibit individual initiative and creativity on the part of the user.

STANDARD LIST OF SUPPLIES

General Office and Classroom Supplies

Standard List Item No.	Description	Inventory	Quantity Required	Unit	Unit Cost	Total Cost
1	BASKETS, Metal waste, bottom 10" diam., top 13", 14" high, inset bottom 1" top reinforced with wire, 26 gauge steel, gray			each	1.25	
	BLOTTERS, for desk pad					
	100# Green					
2	19" x 24"			doz.	.70	
3	20" x 34"			"	1.60	
4	24" x 38"			"	1.65	
5	BLOTTER PADS, Desk, 19" x 24", 4" imitation leather corners not less than 1/8" thick, binder board Brand X #117 or equal			each	2.50	
	Aqua					
	Lavender					
	WAX, Candle wick					
604	#5493-1 12 yards			each	.45	
605	#5495-2 100 yards			"	2.30	
	WAX, Candle glitter					
606	#2816 1 oz.			oz.	.22	
607	#2816 1 lb.			lb.	1.65	

PAGE TOTAL $____________

GRAND TOTAL $____________

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